U.S. DEPARTMENT OF EDUCATION OFFICE OF ELEMENTARY AND SECONDARY EDUCATION SCHOOL IMPROVEMENT PROGRAMS WASHINGTON, D.C. 20202

FY 2002 APPLICATION FOR GRANTS UNDER THE TRANSITION TO TEACHING PROGRAM

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Note: Copies of standard forms are available at the U.S. Department of Education's website at http://www.ed.gov/offices/OCFO/grants/appforms.html.

SECTION A INTRODUCTION

Dear Colleague:

Thank you for your interest in the Transition to Teaching program administered by the U.S. Department of Education, Office of Elementary and Secondary Education. This grant opportunity comes at a critical time in our national effort to ensure that there is a highly qualified teacher in every classroom and that all children have the opportunity to achieve to high standards. The 2002 Transition to Teaching program will help high-need school districts address their teacher shortages by enabling them to hire talented, highly skilled individuals who desire to make a career move into teaching.

Through the this program the Department will provide grants to support the recruitment, training, placement, and retention of highly qualified individuals into K-12 teaching positions and encourage the development and expansion of alternative routes to teacher certification. The groups targeted by the program include: (1) highly qualified mid-career professionals; (2) highly qualified paraprofessionals; and (3) recent college graduates. Eligible applicants for grants include: State educational agencies (SEAs); local educational agencies (LEAs); forprofit and nonprofit organizations that have a proven record of effectively recruiting and retaining highly qualified teachers, in partnership with high-need LEAs or SEAs; institutions of higher education, in partnership with high-need LEAs or SEAs; regional consortia of SEAs; or consortia of high-need LEAs. Competitive priority points will be awarded to a partnership or a consortium that includes a high-need SEA or LEA. Eligible applicants may apply for an award for up to five years.

The Department will group application into three pools: (1) national or regional projects that will assist LEAs in more than one State; (2) statewide projects that will assist LEAs in different parts of a State; or (3) local projects that will assist a single LEA or a group of LEAs located in close proximity to one another within a State. While the same requirements and selection criteria apply to all applications, it is important to indicate the application pool in which you desire to have your application reviewed.

The package contains all the information, instructions, and forms that applicants will need to apply for a fiscal year 2002 Transition to Teaching grant. Please review the entire application package carefully before preparing your application and submitting it to the Department's Application Control Center. To help ensure that your application is complete, an application checklist has been provided in the package.

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If you desire further information concerning this program or the application process, please contact:

Dr. Frances Yvonne Hicks Telephone: (202) 260-0964 Fax: (202) 205-5630

E-mail: <u>transitiontoteaching@ed.gov</u>

Again, thank you for your interest in the Transition to Teaching program and your commitment to helping American schools recruit and retain talented and qualified teachers to ensure that all of our students achieve to high standards and that "No Child is Left Behind."

Sincerely,

Susan B. Neuman, Ed.D.

Transition to Teaching Program Notification of Intent to Apply

The Department will be able to develop a more efficient process for reviewing grant applications if it has a better understanding of the number of entities that intend to apply for funding under this competition. Our ability to do this will depend, in turn, upon advance knowledge of the approximate number of applications we will receive.

For this reason, if your agency or organization intends to apply for funding under the Transition to Teaching program, we ask that you provide us the following information by **July 3, 2002**.

Name of Prima	me of Primary Applicant:					
Address:	ldress:					
City, State, Zip	Code:					
Telephone: Fax Number:						
E-mail address:						
Expected Cate	egory of Application: (Please check, as appropriate)					
□ National/reg□ Statewide p□ Local proje	project					

Please return this form to:

Dr. Frances Yvonne Hicks School Improvement Programs Office of Elementary and Secondary Education 400 Maryland Ave. SW, Room 3C153 Washington, DC 20202-6140

Responses also may be sent by fax to (202) 205-5630 or the information may be sent by e-mail to Transitiontoteaching@ed.gov.

The Department requests this information solely to help it prepare for the peer review process. It will not be used in the review of your application. If you inform the Department of your intent to apply, but subsequently decide not to do so, please notify the Department. Not completing this form does not prevent you from applying for a grant.

SECTION B

APPLICATION NARRATIVE

THE TRANSITION TO TEACHING PROGRAM

OVERVIEW

If we are to ensure that all students in this Nation can succeed academically, America's schools will need to hire and retain high-quality teachers as never before. Ensuring that all students meet challenging content and performance standards means that the 2.2 million teachers that our schools will need to hire over the next ten years will need to have solid subject-matter knowledge as well as effective teaching skills. In short, we will need the most qualified teachers the Nation has ever known.

Every child deserves and needs a highly qualified teacher in every classroom. Yet many schools are hard pressed to find adequate numbers of well-qualified applicants, particularly in fields such as mathematics and science. As school enrollments continue to grow and retirements from the current teacher force increase, the Nation's teacher recruitment and preparation challenges will grow even more daunting.

The 2002 Transition to Teaching grants competition will help to ensure that highneed school districts are able to hire and retain the highly qualified teachers their students require, particularly those students attending high-need schools. It will do so by funding programs that are designed to be effective in: (1) recruiting as teachers in these schools talented professionals from fields outside of education, college graduates who have not completed a teacher preparation program, and school paraprofessionals; and (2) helping these individuals to become successful, licensed, or certified classroom teachers. Grantees will build on what the participating high-need local educational agency(ies) (LEA(s)) have identified as the most critical areas of teacher shortage in their high-need schools, and recruit individuals whose subject-matter training, experience, and background are likely to make them good candidates for immediate and successful placement as teachers in these schools.

The program also focuses on training participants through State-approved alternative routes to teacher certification that reduce the time of eligibility for teacher credentials, by relying on the experience, expertise, and academic qualifications of an individual in lieu of traditional coursework in the field of education. States and LEAs may use program funds to develop or enhance their alternative routes to teacher certification and licensure so long as they also recruit new teachers to fill teaching positions in high-need schools.

ELIGIBLE PROJECT PARTICIPANTS

The fiscal year (FY) 2002 Transition to Teaching competition will support high-quality projects that will focus on meeting the demands of high-need schools and districts for highly qualified teachers. In particular, the program will focus on recruiting from three specific groups of candidates:

- Highly qualified mid-career professionals, such as engineers and scientists, corporate professionals, returning Peace Corps volunteers, and members of the military who, by virtue of their substantial, demonstrable career experience, possess strong subject-matter skills to become teachers:
- 2. Highly qualified paraprofessionals i.e., those with not less than two years of experience in a classroom and postsecondary education (4 semesters) or demonstrated competence in a field or academic subject for which there is a significant shortage of qualified teachers (See Section E, Program Definitions); and
- 3. Recent college graduates with academic backgrounds in areas other than teacher preparation and, in the case of individuals wishing to teach in a secondary school, with an academic major (or the equivalent number of credit hours) in the academic subject in which they will teach.

<u>Note</u>: Refer to the terms highly qualified paraprofessionals and highly qualified teachers in Section E, Program Definitions.

Participants who receive training through this program must serve at least three years in a high-need school operated by a high-need LEA, or repay all or a portion of the amount of any stipend or financial incentive they received through the grant.

REQUIRED PROJECT RESULTS

By the end of their projects, all funded applicants must have helped to meet the identified needs of specified high-need LEAs by –

- 1. Recruiting, preparing, and hiring eligible program participants as new classroom teachers in high-need schools as quickly as possible so as to address the immediate shortage of highly qualified teachers in participating high-need LEAs and their high-need schools;
- 2. Ensuring that, before these individuals become classroom teachers, they receive adequate training in key areas such as applicable content areas, performance standards, pedagogy, related curriculum, classroom management, and technology;
- Helping these individuals to receive their teaching certificate or license in the field of their expertise as soon as possible, such as through alternative routes to teacher certification or licensure; and
- 4. Providing to these individuals significant follow-up support in the first years of teaching to help them become highly effective teachers who make teaching their long-term careers.

ELIGIBILITY TO RECEIVE A GRANT

To be eligible to receive a grant, an applicant must be:

- A State educational agency (SEA);
- A high-need LEA, which may be a charter school that is an LEA;
- A for-profit or nonprofit organization that has a proven record of effectively recruiting and retaining highly qualified teachers, in partnership with a high-need LEA or an SEA;
- An institution of higher education (IHE), in partnership with a high-need LEA or an SEA;
- A regional consortium of SEAs; or
- A consortium of high-need LEAs.

For purposes of this program, schools funded or operated by the Bureau of Indian Affairs (BIA) are considered to be LEAs; the BIA is considered to be an SEA.

All applications must be submitted to the Department no later than August 1, 2002.

CATEGORIES OF APPLICATIONS

All applicants will need to identify the high-need LEA(s) that will be the focus of their placement and follow-up support activities. However, given the wide variety of eligible applicants, we expect that the scope of proposed recruitment and placement efforts will vary widely. The Department will review applications in the following three separate categories determined by where new teachers would be placed:

- 1. **National/Regional.** LEAs in more than one State;
- 2. Statewide. LEAs in more than one area of a particular State; and
- 3. **Local.** A single LEA, or a group of LEAs, in a single area of a State.

Please indicate, on the Project Category Selection Sheet in Section C of this application package, the category in which your application is to be reviewed. All applications, regardless of category, will be reviewed using the same selection criteria and other information contained in this package.

It is possible that an LEA would be the named recipient of project services under two or more applications recommended for funding, i.e., (1) an application that it submits individually, (2) an application that it submits as part of a partnership or consortium, and (3) an application of an SEA (or partnership that includes an SEA). Should this occur and these applications propose duplicative activities of any kind, the Department will offer the LEA a choice of participating in either project. The Department will adjust the other project award accordingly. (In addition, ESEA section 2313(g)(3) provides, in the case of a somewhat similar scenario, that should an LEA establish a partnership or belong to a consortium of other LEAs, which is established to implement a Transition to Teaching project, the LEA may not be eligible also to receive funds through a State project awarded under this program.)

DURATION AND AMOUNT OF AWARDS

For the FY 2002 competition, the Department will make available approximately \$35 million in grant awards to successful applicants for the first year of project periods that may extend up to five years. Awards for future years will be based on the availability of funds and success of the project.

In order to receive a continuation award (years 2-5), grantees must demonstrate substantial progress in meeting the goals and objectives as described in their approved application (including their year-to-year timelines and benchmarks). The Department estimates that it will make the following number of awards:

- **National/Regional Projects.** 10 awards ranging in size from \$300,000 to a maximum of \$1,200,000 per year at an average size of \$750,000 per year.
- **Statewide Projects**. 37 awards ranging in size from \$150,000 to a maximum of \$600,000 per year at an average size of \$375,000 per year.
- **Local Projects.** 60 awards ranging in size from \$50,000 to a maximum of \$400,000 per year at an average size of \$225,000 per year.

The Department is not bound by these estimates.

The size of awards within a category may vary widely, depending on the scope and category of the project and such other factors as: the costs associated with developing or enhancing any alternative routes to certification or licensure; the number and variety of individuals to be recruited, trained, and hired as teachers; the costs projects will incur in recruiting and helping candidates become licensed or certified teachers, and supporting them during their initial years in teaching; the amount of stipends or financial incentives, if any, that the applicant will award to each of these individuals; the number and size of LEAs that will employ program participants, and the resources that LEAs are able to contribute to the projects.

MAXIMUM AMOUNT OF ANNUAL BUDGET REQUESTS

Your annual budget request should not exceed the maximum amount in each category above. You must submit a projected budget for all years of the proposed project (up to five years) at the time of the initial submission of the application.

PROGRAM REQUIREMENTS

REQUIRED PROJECT COMPONENTS

Over the course of their multiyear projects, all grantees must, at a minimum --

- A. Use program funds to develop a teacher corps or other program for recruiting and retaining new teachers from among, and only among, eligible project participants (Sections 2313(d)(A)-(C), 2313(g)(1));
- B. Work in collaboration, as needed, with other institutions, organizations, or agencies, to (1) use recruitment strategies (particularly those that have already been proven effective in retaining highly qualified teachers), and then (2) train, (3) place, (4) support, and (5) provide further induction assistance to program participants (Section 2313(d)(E));
- C. Help newly recruited individuals become certified or licensed teachers under provisions of State law (Section 2313(d)(D)); and
- D. Increase the number of highly qualified teachers (as defined in ESEA Section 9101(23)) teaching high-need academic subjects in high-need schools in high-need urban or rural LEAs (Section 2313(d)(E)).

As noted in the next section of this package, Selection Criteria, the Transition to Teaching program statute provides that each applicant must describe in its application how it will meet these requirements.

How a particular applicant chooses to meet these requirements will depend on such individual factors as: (1) the teacher shortage needs of those high-need LEAs with which it is working (if the applicant is not a high-need LEA or consortium of high-need LEAs); (2) the need or desirability of first developing or enhancing State-approved alternative routes to teacher certification or licensure; (3) the availability of non-Federal funding to support appropriate recruitment, placement, support, and retention strategies, (4) the particular needs of participating high-need LEAs located in rural or urban areas; and (5) the form and manner of collaboration with other institutions, organizations, or agencies.

Many LEAs are already successfully using alternative or abbreviated routes to certification and licensure to recruit promising new teachers from the ranks of

career-changing professionals, recent college graduates without degrees in teaching, or promising paraprofessionals. Other LEAs are yet to begin this process. Similarly, through alternative State-approved routes to teacher certification or licensure, many States offer LEAs an ability to encourage and enable individuals who already have useful subject-matter knowledge to become certified or licensed through a process of mentored classroom experience rather than through the traditional vehicle of teacher preparation programs. Other States either may lack high-quality alternative certification programs or need to enhance those that they have. These States may want to work on alternative routes – in particular, those that enable individuals to become eligible for teacher certification within a reduced period of time by relying on their experience, expertise, academic qualifications, or other factors in lieu of traditional coursework in the field of education – while (or before) conducting recruitment activities under this program

Hence, applicants have tremendous flexibility to design ways of using program funds to secure, from mid-career professionals, recent college graduates, and paraprofessionals, the highly qualified teachers that they and their students need, and the Department expects to fund a wide variety of projects in various stages of development.

Applicants may propose to implement altogether new programs. Or they may propose to fill in gaps in existing ones. The law (ESEA Section 2313(g)(2)) requires only that, in the course of meeting the four components identified above, each applicant use program funds for a project that includes at least two of the following activities:

- A. Providing scholarships, stipends, bonuses, and other financial incentives that are linked to potential teachers' participation in activities that have proved effective in retaining teachers in high-need schools operated by high-need local educational agencies. These incentives may not exceed \$5,000 per participant (and may be provided only in exchange for a commitment to teach in high-need schools for at least three years or to repay all or a portion of these funds as the Secretary shall require).
- B. Carrying out pre- and post-placement induction or support activities that have proven effective in recruiting and retaining teachers, such as:
 - (i) teacher mentoring;
 - (ii) providing internships;
 - (iii) providing high-quality, preservice coursework; and
 - (iv) providing high-quality, sustained in-service professional development.

- C. Carrying out placement and ongoing activities to ensure that teachers are placed in fields in which they are highly qualified to teach and are placed in high-need schools.
- D. Paying costs associated with LEAs' recruitment, or providing financial incentives to prospective teachers.
- E. Collaborating with institutions of higher education (IHEs) in developing and implementing programs to facilitate teacher recruitment (including teacher credentialing) and teacher retention programs.
- F. Developing long-term recruitment and retention strategies, such as:
 - (i) a statewide or regionwide clearinghouse for the recruitment and placement of teachers,
 - (ii) administrative structures to develop and implement State-approved programs to provide alternative routes to certification;
 - (iii) reciprocity agreements between two or more States for the certification or licensing of teachers, or
 - (iv) other long-term teacher recruitment and retention strategies; and
- G. Carrying out other programs, projects, and activities that are designed to be effective in recruiting and retaining teachers, and that the Secretary determines, by approving a program application, to be appropriate.

In preparing their applications, applicants should describe their activities in response to the Selection Criterion under (B) Quality of the Project Design.

In implementing their teacher recruitment and retention programs, grantees should note that by statute (Section 2313(h)(2)), program funds must be used only to supplement, and not supplant, State, and local funds spent to support teacher recruitment and retention programs, including programs to recruit teachers through alternative routes to certification.

OTHER PROGRAM REQUIREMENTS

1. Consistent with its approved application, a recipient of a multiyear grant may use program funds to recruit several cohorts of eligible participants and have them hired as teachers in high-need schools of participating LEAs. However, in order to ensure that grantees (and the LEAs with which they partner) provide to all teachers recruited and hired through this program at least one year of intensive follow-up support in order adequately to train (and help to retain) these individuals as high-quality teachers, program funds may not be used to hire individuals as teachers after the end of the second-to-last project period. Thus, a grantee that receives a five-year award (the maximum project period) may not

use program funds to recruit and hire teachers after the end of the 2005-2006 school year.

- 2. Grantees must ensure that teachers recruited with Transition to Teaching program funds are placed in high-need schools operated by high-need LEAs, and that, in making these placements, priority is given to schools located in areas with the highest percentage of students from families with incomes below the poverty line. (Section 2313(h)(1))
- 3. The statute limits the amount of funds that any recipient of program funds may charge to administrative costs to five percent of its available grant funds. (Section 2313(k)) In addition, the Department is limiting the amount of indirect costs that a recipient may charge to program funds (whether these indirect costs amount to administrative or non-administrative expenses) to the total calculated by use of an eight percent indirect cost rate or the entity's established restricted indirect cost rate, whichever is greater. These matters are further discussed in the section of this application package entitled Other Important Application Information.
- 4. Finally, the law requires any individual who receives training through the Transition to Teaching program to teach in a high-need LEA for a period of at least three years. Those who do not will have to repay any scholarships, stipends, bonuses, and other financial incentives paid with program funds under requirements that the Department is working to establish. (Section 2313(i) and (j))

Under the Department's current thinking, grantees would need to maintain records of up-to-date contact information, verification of length of time teaching in high-need LEAs and schools, copies of the participant service agreement and conditions of repayment as required, and other such information to assist in the repayment process. Applicants would be able to use a portion of their administrative funds for such authorized activities. The Department will provide specific information regarding repayment and collection requirements and procedures will be provided to grantees as soon as these procedures are available.

REQUIRED APPLICATION CONTENT

How applicants propose to accomplish their objectives is left to their own judgment, ingenuity, and imagination. However, all applications must address the following content areas, as required by Section 2313(d)(2):

The application must:

A. Describe one or more target recruitment groups on which the applicant will focus its recruitment efforts;

- B. Describe the characteristics of each such target group in a manner that;
 - (i) demonstrates knowledge and experience of the group's members, and
 - (ii) demonstrates that the members are eligible to achieve the objectives of the program;
- C. Describe how the applicant will use funds received under this section to develop a teacher corps or other program to recruit and retain highly qualified midcareer professionals (which may include highly qualified paraprofessionals), recent college graduates, or recent graduate school graduates, (or individuals from one or more of these groups) as highly qualified teachers in high-need schools operated by high-need local educational agencies;
- D. Explain how the program carried out under the grant will conform with relevant State laws (and regulations) related to teacher certification or licensing and will facilitate the certification or licensing of participating teacher candidates;
- E. Describe how the grant will increase the number of highly qualified teachers in high-need schools operated by high-need urban or rural local educational agencies, and in high-need academic subjects, in the jurisdiction served by the applicant; and
- F. Describe how the applicant will collaborate as needed (particularly through activities that have proved effective in retaining highly qualified teachers), with other institutions, agencies, or organizations to recruit, train, place, support, and provide teacher induction services to program participants under this chapter, including providing evidence of the commitment of the institutions, agencies, or organizations to the applicant's program.

Rather than address these requirements in a single section of your application, please address them in response to the appropriate Selection Criteria for (B) Quality of the Project Design, and (C) Quality of Project Services, as explained in the following section of the application package.

SELECTION CRITERIA

The Secretary will select for funding under the Transition to Teaching program those applications that are of highest overall quality. In determining which applications to recommend for award, peer reviewers will assign each application up to 100 points using the following Selection Criteria. The relative weight for each criterion is indicated in parentheses. Each criterion also includes the factors that the reviewers will consider in determining how well an application meets the criterion. Under 34 CFR 75.105 of the Education Department General Administrative Regulations (EDGAR) up to five additional points may be awarded to an application based on the program's competitive preference.

The Selection Criteria are drawn from the general criteria for competitive grants contained in sections 34 CFR 75.209 and 75.210. Reviewers will use their own professional judgment to assess the quality of each application against these criteria. In determining which applicants to select for funding, the Department relies upon the reviewers' scores. However, the Department may also use other pertinent information about an applicant (see Section 75.217(d) of EDGAR), and has a responsibility under this program, to the extent practicable, to ensure an equitable geographic distribution of grants among regions of the Nation (see ESEA section 2313(f)).

Please consider the Selection Criteria in the same way we believe the reviewers will – in the context of the purpose of the Transition to Teaching program, the required application content, and the other materials contained in this application package. In this regard, please refer to the following section of this application package, Responding to the Program's Selection Criteria, for suggestions of what we believe reviewers likely would find a high-quality application to address.

A. Need for the Project. (10 points)

In determining the need for the proposed project, the Secretary considers:

- (i) The magnitude of the need for the services to be provided or activities to be carried out by the proposed project; and
- (ii) The extent to which the proposed project will prepare personnel for fields in which shortages have been demonstrated.

B. Quality of the Project Design. (25 points)

In determining the quality of the proposed project design, the Secretary considers:

(i) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable;

- (ii) The extent to which the proposed project is designed to build capacity and yield results that will extend beyond the period of Federal financial assistance;
- (iii) The extent to which the proposed project represents an exceptional approach for meeting statutory purposes and requirements; and
- (iv) The extent to which participants are to be selected on the basis of academic excellence.

<u>Note</u>: In responding to this criterion, applicants must address the following statutory requirements:

- Describe one or more target recruitment groups on which the applicant will focus its recruitment efforts; (Section 2313(d)(2)(A))
- Describe the characteristics of each such target group in a manner that--
 - (1) Demonstrates knowledge and experience of the group's members; and
 - (2) Demonstrates that the members are eligible to achieve the objectives of the Transition to Teaching program; (Section 2313(d)(2)(B))
- Explain how the program carried out under the grant will conform with relevant State laws and regulations related to teacher certification or licensing and will facilitate the certification or licensing of recruited teacher; (Section 2313(d)(2)(D))
- Describe the goals of each participating LEA under the project relating to teacher recruitment and retention in terms of how the grant will increase the number of highly qualified teachers in high-need schools operated by the LEA and in high-need academic subjects; (Section 2313(d)(2)(E)) and
- Explain how the proposed project is designed to conduct two or more authorized program activities. (Section 2313(g)(2))

C. Quality of Project Services. (20 points)

In determining the quality of the services to be provided by the proposed project, the Secretary considers:

(i) The extent to which the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services;

- (ii) The extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in practice among the recipients of those services;
- (iii) The extent to which the training or professional development services to be provided by the proposed project are likely to alleviate the personnel shortages that have been identified or are the focus of the proposed project;
- (iv) The extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners for maximizing the effectiveness of project services; and
- (v) The quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

<u>Note</u>: In responding to this criterion, applicants must address the following statutory requirements:

- Describe how program funds will be used to develop a teacher corps or other program to recruit and retain as highly qualified teachers in high-need schools operated by high-need LEAs from one or more of the following groups: (1) highly qualified mid-career professionals (which may include highly qualified paraprofessionals), (2) recent college graduates, or (3) recent graduate school graduates. (Section 2313(d)(C)); and
- Describe how applicant will collaborate, as needed (particularly through activities that have proven effective in retaining highly qualified teachers) with other institutions, agencies, or organizations to recruit train, place, support, and provide teacher induction services to program participants, including providing evidence of the commitment of the institutions, agencies, or organizations to the applicant's program. (Section 2313(d)(F))

D. Quality of Project Personnel. (10 points)

In determining the quality of project personnel, the Secretary considers the qualifications, including relevant training and experience of:

- (i)The project director;
- (ii) Key project personnel; and
- (iii) Project consultants or subcontractors.

E. Adequacy of Resources. (10 points)

In determining the adequacy of resources for the proposed project, the Secretary considers the:

- (i) Adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization;
- (ii) Relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project;
- (iii) Extent to which the costs are reasonable in relation to the number of persons to be served and to the anticipated results and benefits; and
- (iv) Extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

F. Quality of the Management Plan. (10 points)

In determining the quality of the management plan for the proposed project, the Secretary considers the:

- (i) Adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks;
- (ii) Adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project;
- (iii) Extent to which the time commitments of the project director and other key project personnel are appropriate and adequate to meet the objectives of the proposed project.

G. Quality of the Project Evaluation. (15 points)

In determining the quality of the project evaluation, the Secretary considers the extent to which the methods of evaluation:

- (i) Are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project;
- (ii) Provide for examining the effectiveness of project implementation strategies; and

(iii) Include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible.

<u>Note</u>: In responding to this criterion, applicants must address the following statutory requirements:

- Describe how applicant will conduct an interim evaluation of the program at the end of the third year of the grant period, and a final evaluation at the end of the fifth year of the grant period. (Section 2314(a))
- Describe how the interim and final evaluations will include the extent to which the LEAs that receive funds through the grant (or otherwise participate in the program) have met the goals relating to teacher recruitment and retention described in the application. (Section 2314(b))

Competitive Preference. (5 points)

Under 34 CFR 75.105(c)(2)(i) the Department awards up to a total of five (5) additional points to an applicant that demonstrates that, in designing and implementing the project, it is an active partnership or consortium that includes either (1) a high-need SEA or (2) a high-need LEA.

<u>Note</u>: Applicants should consult the definitions of a high-need SEA and high-need LEA in Section E, Program Definitions.

RESPONDING TO THE PROGRAM'S SELECTION CRITERIA

Applicants for the Transition to Teaching program grants will want to describe how their projects would help to meet the shortage of highly qualified teachers in high-need LEAs and high-need schools by attracting talented and qualified individuals from other professions (including highly qualified paraprofessionals) and nontraditional backgrounds into teaching positions. Programs designed to recruit and hire qualified professionals can be expected to differ significantly from those designed to recruit and hire highly qualified paraprofessionals. However, except in the special case of paraprofessionals, we anticipate that grantees typically will want to respond to the pressing need of students in high-need LEAs for highly qualified teachers in core academic subjects by finding ways to recruit and hire eligible participants to assume classroom teaching responsibilities no later than the following school year.

To do so, we also anticipate that projects will want to hire individuals for these teaching positions as permitted by existing State-approved alternative routes to teacher certification or licensure. In this regard, we note that –

- ESEA section 1119 requires that all new teachers hired to work in Title I, Part A programs after the first day of the 2002-2003 school year must meet the definition of "highly qualified" in ESEA section 9101(23) (See Part E, ESEA Statutory Provisions) before beginning to teach, and
- The Department has proposed that all new teachers will be considered already certified if they (1) are permitted by the State to assume functions as regular classroom teachers, and (2) are making satisfactory progress toward full certification, as prescribed by the State and the alternative route program.

See Other Important Application Information, which follows this section.

Beyond these factors, we believe that successful applicants will be able to answer convincingly the questions presented below in ways that clearly and comprehensively address the Selection Criteria the Department will use to assess the quality of each application.

A. Need for the Project

- How severe are the teacher shortages of the specific high-need LEA(s)and high-need schools to be served (particularly in high-need subject areas such as mathematics and science?
- What is the basis for the LEA's or LEAs' assessment of these needs (e.g., high attrition rate, number of teachers teaching out-of-field or without a certificate)?

- How do the LEAs and schools qualify as "high need" based on the definitions in the statute? (Sections 2312(2) and (3)) <u>Note</u>: Please consult the program definitions for "high-need LEA" and "high-need school, when addressing this criterion. The definitions are located in Section E, Program Definitions.
- Why do the LEA(s) need the individuals who would be recruited, prepared, and placed as teachers through this program in order to address their teacher shortages? How will this project enhance or supplement the existing efforts of the LEA(s) to recruit teachers who are qualified to teach in high-need areas and subjects?
- How significant will this project be in helping the LEA(s) meet their teacher recruitment needs?

B. Quality of the Project Design

Recruitment

- How many prospective highly qualified candidates will the project recruit?
 What professional skills, qualifications, academic backgrounds, or other talents will the LEA(s) require? (Section 2313(d)(2)(A) and (B))
- How will individuals be recruited? Will this be done locally, regionally, or nationally? Will the proposed project be strengthened through partnerships with State agencies, for-profit/nonprofit organizations, IHEs, or other entities that may exist in the areas where the project's recruitment efforts will occur? What will those partnerships look like?
- What kind of outreach and recruitment efforts will the project undertake to ensure race and gender equity among the participants in the program?
- How will the applicant determine whether candidates have the capacity and commitment to, complete the alternative teacher certification requirements to become effective teachers and complete the three-year service requirement?

Project objectives and milestones

- How soon after being recruited, will project participants become teachers in high-need schools of high-need LEAs?
- If a project relies upon a State-approved alternative routes to teacher certification or licensure, when would each new teacher be certified or licensed in the subject area and grade-level in which he or she will be teaching? How will the project demonstrate that it will use an alternative route to certification or licensure that saves time and relies on factors

- other than traditional coursework in the field of education? (Section 2313(d)(2)(D))
- If a project does not rely on an alternative route to teacher certification or licensure, why not?
- Will the project advance State and local efforts regarding alternative routes to teacher certification or licensure? If so, how?

Sustaining results

 How will the project increase the number of teachers and improve the capacity of the applicant and the participating high-need LEA(s) to hire and retain qualified teachers (in high-need core academic subjects) after Federal funding ends? (Section 2313(d)(2)(E))

C. Quality of Project Services

Identifying and responding to LEA needs for services

- How will the applicant respond to the teacher shortage in the high-need field or subject identified by the LEAs' data? What data will be used to confirm that the high-need LEA needs the teachers through this program?
- How will the applicant help recruits complete certification and licensure requirements (through alternative routes, where available) in ways that effectively respond to the needs of the high-need LEAs that have agreed to hire them?

Service delivery

- Has the applicant identified two or more authorized funding activities from Section 2313(g)(2), that will meet the focus of the program, provide adequate services, and support for the program?
- How will the applicant ensure that recruits are placed into teaching positions in high-need LEAs and schools and as quickly as possible?
- What process will the grantee use to ensure that project participants are, or become, familiar with the schools and LEA(s) in which they will teach as they make the transition to teaching?
- How will the applicant ensure that project participants receive high-quality training or instruction they may need to obtain certification or licensure as quickly as State (or local) procedures and requirements permit and through alternative routes to teaching where they are available?

- What assistance will the applicant provide to project participants to help them complete high-quality training or instruction for licensure or certification?
- How will the applicant help those recruited into the program complete their three-year teaching commitments in schools with the highest need?
- What commitments have the high-need LEA(s) made to hire qualified project participants, and to provide the support they need to succeed as classroom teachers? What commitments have other partners made to help ensure that the project succeeds?
- What special support will these new teachers receive during at least their first three years in the classroom to help ensure that they become effective teachers in the subjects and grades they are qualified to teach? (Section 2313(d)(2)(C))

Partnering and collaboration

- What kind of working relationship will the applicant have with the LEA(s) participating in the project? How does the application demonstrate that the LEA is truly committed to the project's success? (Section 2313(d)(2)(F))
- If the applicant is a partnership, what is the evidence that each partner is truly committed to the project's success?
- With what agencies, organizations and institutions, will the applicant collaborate on the project, and what is the role of each?

D. Quality of Project Personnel

- How do the qualifications and background of the project director and key staff and its partners contribute to the likely success of the project?
- What comparable projects have the project director and key staff managed in the past?

E. Adequacy of Resources

- What financial or in-kind resources does the applicant propose, and how are these resources likely to contribute to the project's success?
- Is the level of requested funding reasonable in view of the number of new teachers the project will produce, the requirements they will need to meet to become licensed or certified, and the support the project will provide to them both before and after they begin their teaching careers?

 What evidence is there to demonstrate the long-term commitment of the applicant to the project's success?

F. Quality of the Management Plan

- What decision-making and governance structures will the applicant use, and how will those structures allow the applicant to respond to the needs of the participants and the LEA(s) to be served?
- What activities will be conducted each year, and what are the proposed timelines for those activities? How will the project manage the progress of services from subcontractors, evaluators, IHEs and others?
- How will the project director and key staff periodically review the project to learn whether the project is succeeding in meeting its goals and objectives? How will they know whether changes in recruitment, preparation, placement, or follow-up support strategies are necessary? What will they do to implement these changes?
- What controls will the applicant use to ensure that those recruited into the
 program use stipends or financial incentives they receive only to help
 them become teachers in the LEA(s) to be served? What is the total
 amount of stipends or incentives the applicant expects to provide out of
 program funds, and when will participants receive the funds?
- What is the evidence that the project will have the resources, personnel, time commitments, and other elements needed to succeed?

G. Quality of the Project Evaluation

- Are the methods for evaluating the success of the project sound and appropriate to its goals, objectives, implementation strategies, and outcomes?
- How will the project use the data gathered from the evaluation to improve activities in future years?
- How will the project use data gathered from the participating LEAs when preparing/submitting interim and final evaluation reports? (Section 2314)

Competitive Preference

 Does the partnership or consortium ensure the participation of a high-need SEA and high-need LEA as defined by the statute?

- Does the applicant demonstrate that all partnership or consortium members have helped to design the project and will take an active role in implementing it?
- Does the applicant include letters of support from all members of the partnership or consortium?
- Does the partnership or consortium clearly include a high-need SEA or high-need LEA?

OTHER IMPORTANT APPLICATION INFORMATION

A. ESEA REQUIRMENTS GOVERNING LEA EMPLOYMENT OF NEW TEACHERS

Applicants for Transition to Teaching program grants need to be aware of other ESEA requirements that govern the hiring of new teachers. Specifically, ESEA section 1119(a)(1) requires that beginning with the second day of the 2002-2003 school year, each LEA receiving assistance under Title I, Part A must ensure that (1) all newly hired teachers of core academic subjects (i.e., English, reading or language arts, mathematics, science, foreign languages, civics and government, economics, arts, history, and geography; see ESEA section 9101(11)) who work in Title I projects are highly qualified, and (2) all teachers are highly qualified no late than the end of the 2005-2006 school year.

The ESEA defines "highly qualified" teacher in section 9101(23). Under this definition, a highly qualified teacher in any public elementary or secondary school must either (1) have obtained full State teacher certification or (2) have passed the State teacher licensing examination and hold a license to teach in that State. A teacher in a public charter school may instead meet the requirements of the State's public charter school law. No highly qualified teacher may have had his or her certification or licensure requirements waived on an emergency, temporary, or provisional basis. Every highly qualified teacher must hold at least a bachelor's degree.

Section 9101(23) of the ESEA contains additional requirements for a highly qualified teacher depending on which grade level the teacher teaches and whether the teacher is new to the profession. An elementary school teacher who is new to the profession must have demonstrated subject knowledge and teaching skills in reading, writing, mathematics, and other areas of the basic elementary school curriculum by passing a rigorous State test. Passing a rigorous State test can mean passing a State-required certification or licensing test or tests in reading, writing, mathematics, and other areas of the basic elementary school curriculum. A middle or secondary school teacher who is new to the profession must have demonstrated a high level of competency in each academic subject that he or she teaches by (1) passing a rigorous State

academic subject test in each of those subjects or (2) successfully completing, in each of those subjects, an academic major, graduate degree, coursework equivalent to an undergraduate academic major, or advanced certification or credentialing. Passing the rigorous State test can mean receiving a passing level of performance on a State-required certification or licensing test or tests in each of the academic subjects that the teacher teaches.

These requirements are further explained in the following questions and answers. Q and A 2 and 3, below, come from Q C-2 and C-3 in the recently issued draft guidance for the ESEA Title II, Part A Teacher Quality Improvement State Grants program (see www.ed.gov/offices/OESE/SIP/TitleIlguidance2002.doc) in which the Department has proposed that the definition of highly qualified in section 9101(23) be construed to enable individuals to who participate in State alternative routes to teacher certification to become classroom teachers before they receive State certification or licensure. The Department has proposed that they would be considered to have met the certification requirements references in paragraph (A) of this definition so long as --

- 1. They are permitted by the State to assume functions as regular classroom teachers, and
- 2. Are making satisfactory progress toward full certification, as prescribed by the State and the alternative route program.

If the Department finally adopts this approach, individuals recruited through projects funded by the Transition to Teaching program, and similar programs and initiatives, may begin teaching as soon as these individuals have demonstrated subject-matter competence in the subject(s) they will teach by passing a rigorous State test or through other means that ESEA section 9101(B) authorizes.

1. Who is a "highly qualified' teacher?

The requirement that teachers be highly qualified applies to public elementary or secondary school teachers who teach a core academic subject. (The term "core academic subjects" means English, reading or language arts, mathematics, science, foreign languages, civics and government, economics, arts, history, and geography [Title IX, Section 9101(11)].) "Highly qualified" means that the teacher:

- 1. Has obtained full State certification as a teacher or passed the State teacher licensing examination and holds a license to teach in the State, and does not have certification or licensure requirements waived on an emergency, temporary, or provisional basis;
- 2. Holds a minimum of a bachelor's degree; and
- 3. Has demonstrated subject area competence in each of the academic subjects in which the teacher teaches, in a manner determined by the State and in compliance with section 9101(23) of ESEA.

The statutory definition includes additional elements that apply somewhat differently to new and veteran teachers, and to elementary, middle and secondary school teachers. The complete definition of "highly qualified teacher," which is in section 9101(23) of the ESEA, appears at the end of in Section E, ESEA Statutory Provisions.

Please note that the application of the term "highly qualified" as it relates to some specific categories of teachers - such as vocational education teachers and charter school teachers – is also explained in Section E, ESEA Statutory Provisions.

2. The definition of a highly qualified teacher includes the requirement that the teacher has obtained "full State certification." What is meant by "full State certification?"

In the context of the definition of a highly qualified teacher, "full State certification" means that the teacher has fully met those State requirements that apply to the years of experience the teacher possesses. For example, these requirements may vary for first year teachers and veteran teachers. In addition, "full State certification" means that the teacher must not have had certification or licensure requirements waived on an emergency, temporary, or provisional basis.

3. When can a teacher in an alternate route to certification/licensure program be considered "highly qualified?"

Any teacher who has obtained full State certification (whether he or she has achieved certification through traditional or alternate routes), has a 4-year college degree, and has demonstrated subject matter competence is considered to be "highly qualified" under the law. Teachers who are participating in an alternate route program may be considered to meet the certification requirements of the definition of a highly qualified teacher if participants in the program are permitted by the State to assume functions as regular classroom teachers and are making satisfactory progress toward full certification, as prescribed by the State and the program.

4. What is the timeline for implementation of the new accountability requirements for highly qualified teachers?

Title I of the ESEA requires that all teachers of core academic subjects hired after the first day of the 2002–2003 school year and teaching in a program supported with Title I, Part A funds be "highly qualified." A teacher is "hired" when the teacher signs a contract with a school district. Thus, any teacher who is hired between now and the second day of the 2002-2003 school year is not subject to this requirement [Section 1119(a)(1)].

In addition, Title I requires each SEA receiving Title I, Part A funds to develop a plan to ensure that all teachers teaching in core academic subjects within the State are highly qualified not later than the end of the 2005-2006 school year.

The SEA also must establish annual measurable objectives for each LEA. Similarly, Title I requires each LEA receiving Title I, Part A funds to develop a plan for ensuring that all teachers teaching within the area served by the school district are highly qualified no later than the end of the 2005-2006 school year [Section 1119(a)(2), (a)(3)]. Both the LEA and SEA must report annually, beginning with the 2002-2003 school year, on their progress in meeting these performance objectives.

5. What kind of annual measurable objectives must the SEA include in the plan developed under Title I, section 1119 to ensure that all teachers teaching core academic subjects are highly qualified?

The SEA's plan, whether submitted as a program-specific application or a consolidated application, must identify annual measurable objectives for each LEA and school in the State that, at a minimum, include: (1) an annual increase in the percentage of highly qualified teachers for each LEA and school; and (2) an annual increase in the percentage of teachers who are receiving "high-quality" professional development. The measurable objectives also may include such other measures as the SEA deems appropriate to increase teacher qualifications [Title I, Part A, Section 1119(a)(2)].

IMPLEMENTING THE TRANSITION TO TEACHING PROGRAM

6. Must applicants describe their proposed multiyear project activities and present a multiyear budget?

Yes. Section 75.112(b) of EDGAR requires applicants to present "a narrative that describes how and when, in each budget period of the project, the applicant plans to meet each objective of the project." This "time-line" information should be included in the description of the applicant's management plan for the project. Grantees then will be responsible for implementing their projects according to the scope, objectives, and timelines for activities as they have described them in their approved project applications.

Applicants for new awards also must provide a detailed proposed budget and budget narrative, using the budget form SF 524 for all budget years of the proposed project, not just the first year. Before awarding a grant award for the initial budget year, the Department will determine the size of an award a grant recipient will receive for each year of the project (assuming availability of funds and that its receipt of a continuation award for future years is warranted). See generally sections 75.117, 75.232, and 75.253 of EDGAR

7. May a regional educational service agency, intermediate educational unit, or similar public agency that is established by the State to provide administrative and technical assistance and support to local school districts receive an award as a high-need LEA?

Typically not. These agencies may be considered LEAs, as the term is defined in ESEA section 9101(26), since they public authorities "legally constituted within a State for either administrative control or direction of, or to perform a service function for, public [schools] in a city, county, township, school district, or other political subdivision of a state, or for a combination of school districts or counties that is recognized in a State as an administrative agency for its "public schools. However, these agencies will rarely be "high-need" LEAs within the meaning of section 2102(3) since they rarely will have teachers for which there is a high percentage teaching out-of-field or with emergency, provisional, or temporary certification or licensing. See the definition of high-need LEA in section E, ESEA Program Requirements.

8. What special reporting requirements govern a recipient's receipt of a continuation award?

Prior to the end of each project year, each grantee must submit an annual performance report containing the specific information the Department requires. This report will contain performance and financial expenditure information that enables the Department to determine whether the grantee is making substantial progress toward meeting the year-to-year objectives contained in its approved application. In this regard, the Department's determination as to whether an applicant's annual performance report warrants the grantee's receipt of a continuation grant award will depend, in part, on how well the applicant reports that it has performed objectives and activities according to the timeline it submitted with its application. See sections 75.118 and 75.590 of EDGAR, as well as Question 5, below, on the program's statutory evaluation and accountability requirements.

9. In describing its recruitment strategy and budget, how should an applicant treat any out-of-area recruitment costs that it believes are necessary, and any moving expenses that it may need to pay to a recruit to relocate to another location in which she/he will teach?

The applicant should explain in the application the circumstances under which any out-of-area travel would be reasonable and necessary in order to recruit individuals whom the participating LEA(s) would hire to fill their teacher-shortage needs, along with information on the extent to which the participating LEA(s) would assume the costs of this travel. Rather than include this information in the body of the application, the applicant may include in a proposed policy statement on staff (or LEA) travel to be paid with program funds should the applicant receive a grant award.

Relocation costs of those whom LEAs would hire are **not** considered costs of recruitment. To the extent that out-of-area recruitment itself is reasonable and necessary, relocation costs may be paid as a stipend or financial incentive if, as with any cost the program would assume, they themselves are reasonable and necessary. See, generally, the applicable set of Cost Principles in U.S. Office of Management and Budget (OMB) Circular A-87 (for State and local governments), A-21 (for institutions of higher education), and A-122 (for no-profit organizations).

10. What are a grant recipient's requirements for helping to ensure repayment and collection of funds from project recruits who do not meet the three-year service requirement?

Each grantee will need to maintain records of its adherence to program requirements and the activities described in its approved application. See section 75.730 as of EDGAR. Hence, all grantees will need to keep records of such key matters as identifying information on project participants, LEA and school in which they are hired, date of employment, and the amount of any stipends of financial incentives they receive out of grant funds. The Department is working to develop the procedures for enforcing the payback requirements in section 2313(I) and (j) for project participants who do not meet their service obligation. Under the Department's current thinking, grantees would assist with administration of these provisions by maintaining up-to-date contact information, verification of length of time teaching in high-need LEAs and schools, copies of the participant service agreement, conditions of repayment, and other information to assist in the repayment process. Grantees would be able to use a portion of their administrative funds for such authorized activities.

The Department will provide specific information regarding repayment and collection requirements and procedures to grantees as soon as these procedures are available.

11. What are the program's evaluation and accountability requirements?

ESEA section 2314 requires grantees to submit to the Department and to the Congress interim and final reports at the end of the third and fifth years of the grant period, respectively. These reports must contain the results of the grantee's interim and final evaluation, which must include a description of the extent to which high-need LEAs that received funds through the grant have met the goals relating to teacher recruitment and retention described in the application. (It is for this reason, that the Evaluation element of the program's Selection Criteria is so important.) The Department will inform grantees of any additional requirements for these reports. Should the Department determine that the results of the grantee's interim evaluation demonstrates that a grantee (and the LEAs that receive program funding) have not made substantial progress in meeting these goals and objectives by the end of the third year, it is required to revoke the payment for the fourth year and not make a payment for the fifth year of the grant. (See section 2314(d)).

12. Is there any maximum that a grantee may charge for administrative costs?

The law imposes a five percent limitation on the amount of administrative costs that a grantee may charge to the program. In addition, all costs must conform to applicable cost principles issued by the OMB, including the principle that all costs must be "necessary and reasonable" for purposes of carrying out grant activities. When assessing the quality of applications, the Department's reviewers may examine whether the amount of administrative costs that are proposed seem reasonable in view of the size and scope of the project and the services to be provided individuals who will become new teachers.

13. Are there any restrictions on the amount of indirect costs that a grantee may charge to program funds?

Yes. By rule, the Department requires that no grantee may charge more for indirect costs that the amount established by operation of the recipient's approved indirect cost rate or eight percent. Moreover, because the Transition to Teaching program has a supplement, not supplant, requirement, the approved indirect cost rate must be the restricted rate defined in section 75.563 and 76.564 through-76.569 of EDGAR.

Not all indirect costs are considered administrative costs. In particular, if it chooses to do so, a recipient may treat as administrative costs (that will count toward the five percent cap) only those indirect costs that reflect application of the allowable indirect cost rate to costs that reflect administrative direct costs of the program. The remaining indirect costs (e.g., heat and light associated with a teacher's classroom) would be considered indirect costs that reflect non-administrative costs of the program.

Guidance On Section 427 Of The General Education Provision Act

Notice To All Applicants

The purpose of this enclosure is to inform you about a provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Pub. L. 103-382).

To whom does this provision apply?

Section 427 of GEPA affects applicants for new grant awards under this program. All applicants for new awards must include information in their applications to address this provision in order to receive funding under this program.

What does this provision require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in its Federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are examples of how an applicant might satisfy the requirement of this provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in Braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Estimated Burden Statement for GEPA Requirements

The time required to complete this information collection is estimated to vary from 1 to 3 hours per response, with an average of 1.5 hours, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection.

If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651.

OMB Control No. 1890-007 (Exp. 9/30/04)

SECTION C

APPLICATION CONTENTS

GENERAL INSTRUCTIONS

To compete for an award under this program, your completed application must include the following ten parts:

Part I: Application for Federal Assistance (Standard Form 424 (Rev. 11-99))

This part of your application consists of the standard application face page on which you provide basic identifying information about the applicant and the application. Specific instructions for completing this form are provided in Section C.

Part II: Table of Contents

Part III: Proof of Eligibility

This part of your application requires a narrative containing information regarding your eligibility to receive a grant under this program. An eligible applicant must propose to benefit one or more high-need LEAs as defined in Section E. Program Definitions.

Part IV: Project Category Selection Sheet

Complete the form located in Section C.

Part V: Project Abstract

The abstract should be 1-2 page(s) in length and include the objectives and intended outcomes of the proposed project.

Part VI: Application Requirements Checklist

This table must include the page number or numbers in which the reviewers will be able to locate the information pertaining to each application requirement in the narrative. Please see Section C.

Part VII: Project Narrative

This part of your application contains information describing the proposed project, responding to the Program's Selection Criteria (including required application content), and the Competitive Preference. The narrative must include but is not limited to this information.

Note: You must limit the narrative to the equivalent of no more than 50 pages, using the following standards:

- A page is 8.5" x 11", on one side only, with 1" margins at the top, bottom and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch).
- For charts, tables, and graphs, also use a font that is either 12-point or larger or no smaller than 10-pitch.

Reviewers will not read any pages of applications that exceed the page limit if one applies these standards; or exceed the equivalent of the page limit if one applies other standards.

Part VIII: Response to Section 427 of GEPA Guidance

This part of the application includes a narrative that responds to Section 427 of the Department's General Education Provisions Act (GEPA). Please see Section B.

Part IX: ED Form 524 and Budget Narrative

In order to be considered for federal funding, each applicant must provide the following:

- ED Form 524 You must provide complete budget information for each year of requested funding.
- A descriptive budget narrative that explains and justifies the requested federal amounts for individual cost categories.

Part X: Assurances and Certifications

Be certain to include all assurances and certifications, and sign each form in the appropriate place. These include:

- Assurances--Non-Construction Programs
- Certifications Regarding Lobbying; Debarment; Suspension, and other Responsibility Matters; and Drug-Free Workplace Requirements
- Certification Regarding Debarment; Suspension; Ineligibility; and Voluntary Exclusion-Lower Tier Covered Transactions
- Disclosure of Lobbying Activity

Application for Federal Education Assistance



U.S. Department of Education

Form Approved OMB No. 1875-0106 Being Revised

Applicant Information		Beilig Revised
1. Name and Address Legal Name:		Organizational Unit
Address:		
		_
City	<u> </u>	State County ZIP Code + 4
2. Applicant's D-U-N-S Number:		6. Is the applicant delinquent on any Federal debt?YesNo
2 Applicant TINI		(If "Yes," attach an explanation.)
3. Applicant's T-I-N _ - _ _		Title: Transition to Teaching Program-2002
4. Catalog of Federal Domestic Assistance #: 84.3	350 (Please check one)	<u></u>
84.350A – Local Project; 84.350B – Sta		
5. Project Director:		7. Type of Applicant (Enter appropriate letter in the box.)
Address:		A - State H - Independent School District B - County I - Public College or University
		C - Municipal J - Private, Non-Profit College or University
City State	Zip code + 4	D - Township K - Indian Tribe E - Interstate L - Individual
Tel. #: () Fax #: ()	F - Intermunicipal M - Private, Profit-Making Organization G - Special District N - Other (Specify):
E-Mail Address:		G - Special District N - Other (Specify).
		8. Novice ApplicantYes No
		6. Novice Applicant1cs10
Application Information 9. Type of Submission: -PreApplication ConstructionNon-ConstructionNon-Construction		any time during the proposed project period?YesNo a. If "Yes," Exemption(s) #: b. Assurance of Compliance #:
10. Is application subject to review by Executive C Yes (Date made available to the Executive process for review): / /	e Order 12372	c. IRB approval date: Full IRB <u>or</u> Expedited Review
		13. Descriptive Title of Applicant's Project:
No (If "No," check appropriate box belo Program is not covered by	w.) EO 12372	
Program has not been selection	cted by State for review.	
11. Proposed Project Dates://	/ /	
Start Date:	End Date:	
Estimated Funding		entative Information owledge and belief, all data in this preapplication/application are true
14a. Federal \$ 00		rument has been duly authorized by the governing body of the applicant
b. Applicant \$ 00		Il comply with the attached assurances if the assistance is awarded.
c. State \$00	a. Typed Name of Author	rized Representative
d. Local \$ 00		
e. Other \$ 00		
f. Program Income \$ 00		Fax #: ()
	d. E-Mail Address:	
g. TOTAL \$ 00	e. Signature of Authoriz	
		Date: / /
ED 424 (rev 11/12/99)	-	Date:/

- 1. Legal Name and Address. Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
- 2. **D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: https://www.dnb.com/product/eupdate/update.htm
- **3. Tax Identification Number.** Enter the tax identification number as assigned by the Internal Revenue Service.
- **4. Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested.
- **5. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
- **6. Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
- **7. Type of Applicant.** Enter the appropriate letter in the box provided.
- 8. Novice Applicant. Check "Yes" only if assistance is being requested under a program that gives special consideration to novice applicants and you meet the program requirements for novice applicants. By checking "Yes" the applicant certifies that it meets the novice applicant requirements specified by ED. Otherwise, check "No."
- **9. Type of Submission.** Self-explanatory.
- 10. Executive Order 12372. Check "Yes" if the application is subject to review by Executive Order 12372. Also, please enter the month, date, and four (4) digit year (e.g., 12/12/2000). Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Otherwise, check "No."
- **11. Proposed Project Dates.** Please enter the month, date, and four (4) digit year (e.g., 12/12/2000).
- 12. Human Subjects. Check "Yes" or "No". If research activities involving human subjects are not planned at any time during the proposed project period, check "No." The remaining parts of item 11 are then not applicable.

If research activities involving human subjects, whether or not exempt from Federal regulations for the protection of human subjects, <u>are</u> planned <u>at any time</u> during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution, check "Yes." If <u>all</u> the research activities are designated to be exempt under the regulations, enter, in item 11a, the exemption number(s)

corresponding to one or more of the six exemption categories listed in "Protection of Human Subjects in Research" attached to this form. Provide sufficient information in the application to allow a determination that the designated exemptions in item 11a, are appropriate. Provide this narrative information in an "Item 11/Protection of Human Subjects Attachment" and insert this attachment immediately following the ED 424 face page. Skip the remaining parts of item 11.

If <u>some or all</u> of the planned research activities involving human subjects are covered (nonexempt), skip item 11a and continue with the remaining parts of item 11, as noted below. In addition, follow the instructions in "Protection of Human Subjects in Research" attached to this form to prepare the sixpoint narrative about the nonexempt activities. Provide this sixpoint narrative in an "Item 11/Protection of Human Subjects Attachment" and insert this attachment immediately following the ED 424 face page.

If the applicant organization has an approved Multiple Project Assurance of Compliance on file with the Grants Policy and Oversight Staff (GPOS), U.S. Department of Education, or with the Office for Protection from Research Risks (OPRR), National Institutes of Health, U.S. Department of Health and Human Services, that covers the specific activity, enter the Assurance number in item 11b and the date of approval by the Institutional Review Board (IRB) of the proposed activities in item 11c. This date must be no earlier than one year before the receipt date for which the application is submitted and must include the four (4) digit year (e.g., 2000). Check the type of IRB review in the appropriate box. An IRB may use the expedited review procedure if it complies with the requirements of 34 CFR 97.110. If the IRB review is delayed beyond the submission of the application, enter "Pending" in item 11c. If your application is recommended/selected for funding, a followup certification of IRB approval from an official signing for the applicant organization must be sent to and received by the designated ED official within 30 days after a specific formal request from the designated ED official. If the applicant organization does not have on file with GPOS or OPRR an approved Assurance of Compliance that covers the proposed research activity, enter "None" in item 11b and skip 11c. In this case, the applicant organization, by the signature on the application, is declaring that it will comply with 34 CFR 97 within 30 days after a specific formal request from the designated ED official for the Assurance(s) and IRB certifications.

- **13. Project Title.** Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
- 14. Estimated Funding. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <u>only</u> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an

attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 13.

15. Certification. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office.

Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 14e, please enter the month, date, and four (4) digit year (e.g., 12/12/2000) in the date signed field.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1875-0106. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, S.W. ROB-3, Room 3633, Washington, D.C. 20202-4725

Protection of Human Subjects in Research (Attachment to ED 424)

I. Instructions to Applicants about the Narrative Information that Must be Provided if Research Activities Involving Human Subjects are Planned.

If you marked item 11 on the application "Yes" and designated exemptions in 11a, (all research activities are exempt), provide sufficient information in the application to allow a determination that the designated exemptions are appropriate. Research involving human subjects that is exempt from the regulations is discussed under II.B. "Exemptions," below. The Narrative must be succinct. Provide this information in an "Item 11/Protection of Human Subjects Attachment" and insert this attachment immediately following the ED 424 face page.

If you marked "Yes" to item 11 on the face page, and designated no exemptions from the regulations (some or all of the research activities are nonexempt), address the following six points for each nonexempt activity. In addition, if research involving human subjects will take place at collaborating site(s) or other performance site(s), provide this information before discussing the six points. Although no specific page limitation applies to this section of the application, be succinct. Provide the six-point narrative and discussion of other performance sites in an "Item 11/Protection of Human Subjects Attachment" and insert this attachment immediately following the ED 424 face page.

- (1) Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable.
- (2) Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.
- (3) Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.
- (4) Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.
- (5) Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate,

describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

II. Information on Research Activities Involving Human Subjects

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

-Is it a research activity?

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge, such as an exploratory study or the collection of data to test a hypothesis, it is research. Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

—Is it a human subject?

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." (1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met. [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

Research activities in which the only involvement of human subjects will be in one or more of the following six categories of *exemptions* are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such

Department of Education's Protection of Human Subjects in Research Web Site at http://ocfo.ed.gov/humansub.htm.

- as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.
- (2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. If the subjects are children, this exemption applies only to research involving educational tests or observations of public behavior when the investigator(s) do not participate in the activities being observed. [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]
- (3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or Federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.
- (4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.
- (5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.
- (6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S Department of Agriculture.

Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff (GPOS) Office of the Chief Financial and Chief Information Officer, U.S. Department of Education, Washington, D.C., telephone: (202) 708-8263, and on the U.S.

PROJECT CATEGORY SELECTION SHEET

Complete this form and include in the application package.

1. Name of applicant ir	clude partner(s) if applicant is a partnership.
2. Indicate the category ι	under which your application should be reviewed.
Local Project	This includes projects where placement of teachers will be in a single LEA or in a group of LEAs located in close proximity to one another within a State. Check CFDA # 84.350A on Standard Form 424 (See page C-3, Item #4).
Statewide Project	This includes projects where placement of teachers will be statewide or in LEAs scattered across a particular State. Check CFDA # 84.350B on Standard Form 424 (See page C-3, Item #4).
National/Regional F	Project This includes projects that will serve LEAs in more than one State. Check CFDA # 84.350C on Standard Form 424 (See page C-3, Item #4).
	As (i.e., those LEAs that endorse the project and intend to als that are recruited into teaching.)

APPLICATION REQUIREMENTS CHECKLIST

In order for an application to be eligible under Transition to Teaching, the applicant must address the program requirements as defined by the Elementary and Secondary Education Act, Section 2313. These requirements are identified in the table below.

In an effort to facilitate the reviewers' assessment of each requirement addressed in your application, we ask that you identify the page number or numbers in which the reviewers will be able to locate the information.

PART I

The project application must address the following requirements as defined under Section 2313(d)(2).

PAGE#	PROGRAM REQUIREMENTS
	Describe one or more target recruitment groups on which the
	applicant will focus its recruitment efforts.
	Describe the characteristics of each such target group in a manner that:
	(1) demonstrates the knowledge and experience of the group's members; and
	(2) demonstrates that the members are eligible to achieve the objectives of the Transition to Teaching program.
	Explain how the program carried out under the grant will conform
	with relevant State laws and regulations related to teacher
	certification or licensing and will facilitate the certification or licensing of participating teacher candidates.
	Describe the goals of each participating LEA under the project relating to teacher recruitment and retention, in terms of how the grant will increase the number of highly qualified teachers in highneed schools operated by the LEA and in high-need academic subjects.
	Describe how program funds will be used to develop a teacher corps or other program to recruit and retain as highly qualified teachers in high-need schools operated by high-need LEAs from one or more of the following groups: (1) highly qualified mid-career professionals (which may include highly qualified paraprofessionals), (2) recent college graduates, or (3) recent graduate school graduates.
	Describe how the applicant will collaborate, as needed (particularly through activities that have proven effective in retaining highly qualified teachers), with other institutions, agencies, or organizations to recruit, train, place, support, and provide teacher induction programs to program participants under this chapter, including providing evidence of the commitment of the institutions, agencies, or organizations to the applicant's program.

PART II

The project application must describe how the project will use program funds to carry out a program that includes $\underline{\text{two or more}}$ of the following activities (Section 2313(g)(2)):

PAGE#	PROGRAM REQUIREMENTS
	(A) Providing scholarships, stipends, bonuses, and other financial incentives that are linked to participation in activities that have
	proved effective in retaining teachers in high-need schools operated by high-need local educational agencies, to all eligible participants, in an amount not to exceed \$5,000 per participant
	(and only in exchange for a commitment to teach n high-need schools for at least three years or to repay all or a portion these funds as the Secretary shall require).
	(B) Carrying out pre- and post-placement induction or support activities that have proved effective in recruiting and retaining
	teachers, such as — (i) teacher mentoring; (ii) providing internships;
	(iii) providing high-quality, preservice coursework; and(iv) providing high-quality, sustained inservice professional development.
	(C) Carrying out placement and ongoing activities to ensure that teachers are placed in fields in which the teachers are highly qualified to teach and are placed in high-need schools.
	(D) Paying costs associated with LEAs' recruitment and placement of teachers trained under the program.
	(E) Collaborating with institutions of higher education in developing and implementing programs to facilitate teacher recruitment (including teacher credentialing) and teacher retention programs.
	(F) Developing long-term recruitment and retention strategies, such as —
	(i) a statewide or regionwide clearinghouse for the recruitment and placement of teachers;
	(ii) administrative structures to develop and implement programs to provide alternative routes to certification;(iii) reciprocity agreements between States for the
	certification or licensing of teachers; or (iv) other long-term teacher recruitment and retention strategies.
	(G) Carrying out other programs, projects, and activities that are designed and have proven to be effective in recruiting and retaining teachers.

PART III – COMPETITIVE PREFERENCE

The project application meets the following competitive preference (section 2313(c)).

PAGE #	PROGRAM REQUIREMENTS
	PRIORITY-The Secretary gives a preference to a partnership or
	consortium that includes a high-need SEA or high-need LEA.



U.S. DEPARTMENT OF EDUCATION

BUDGET INFORMATION

NON-CONSTRUCTION PROGRAMS

OMB Contro	l Number:	1890-0004
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Expiration Date: 02/28/2003

Name of	`Institu	ıtion/	Organ	ization
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Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION A - BUDGET SUMMARY U.S. DEPARTMENT OF EDUCATION FUNDS

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

ED Form No. 524

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION B - BUDGET SUMMARY NON-FEDERAL FUNDS

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

SECTION C - OTHER BUDGET INFORMATION (see instructions)

ED Form No. 524

Public reporting burden for this collection of information is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, D.C. 20202-4651; and the Office of Management and Budget, Paperwork Reduction Project 1875-0102, Washington DC 20503.

INSTRUCTIONS FOR ED FORM 524

General Instructions

This form is used to apply to individual U.S. Department of Education discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached.

<u>Section A - Budget Summary</u> <u>U.S. Department of Education Funds</u>

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year for which matching funds or other contributions are provided, show the total

contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

Section C - Other Budget Information Pay attention to applicable program specific instructions, if attached.

- 1. Provide an itemized budget breakdown, by project year, for each budget category listed in Sections A and B.
- 2. If applicable to this program, enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period. In addition, enter the estimated amount of the base to which the rate is applied, and the total indirect expense.
- 3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
- 4. Provide other explanations or comments you deem necessary.

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

- Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
- Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
- 3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
- 4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
- 5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
- Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C., 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
- 7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or Federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

- Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 276a to 276a-7), the Copeland Act (40 U.S.C. 276c and 18 U.S.C. 874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333), regarding labor standards for Federally assisted construction subagreements.
- 10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
- 11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

- 12 Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
- 13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
- 14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
- 15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
- 16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
- 17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, □Audits of States, Local Governments, and Non-Profit Organizations.□
- Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

Standard Form 424B (Rev. 7-97) Back

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

- A. The applicant certifies that it and its principals:
- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

- (c)Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and
- (d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and
- B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

- A. The applicant certifies that it will or will continue to provide a drug-free workplace by:
- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an on-going drug-free awareness program to inform employees about:
- (1) The dangers of drug abuse in the workplace;
- (2) The grantee's policy of maintaining a drug-free workplace;
- (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
- (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph
- (a) that, as a condition of employment under the grant, the employee will:
- (1) Abide by the terms of the statement; and
- (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

- (e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:
- (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
- (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).
- B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Pe	erformance (Street address. city, county, state, zip code
Check []	if there are workplaces on file that are not identified

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

- A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and
- B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APP LICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

ED 80-0013 12/98

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Covered Transactions

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

Instructions for Certification

- 1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
- 2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- 3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- 4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
- 5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

- 6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled ACertification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions,≅ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- 7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.
- 8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- 9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME	
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE		
SIGNATURE	DATE	

ED 80-0014, 9/90 (Replaces GCS-009 (REV.12/88), which is obsolete)

Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

(See reverse for public burden disclosure)

a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	2. Status of Federal Action: a. bid/offer/application b. initial award c. post-award		3. Report Type: a. initial filing b. material change For material change only: Year quarter Date of last report		
1. Name and Address of Reporting Prime Subawardee Tier, if K			orting Entity in No. 4 is Subawardee, Enter Name and s of Prime:		
Congressional District, if known:		Congression	Congressional District if known:		
6. Federal Department/Agency:			Congressional District, if known: 7. Federal Program Name/Description:		
8. Federal Action Number, if known: 10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI):		CFDA Number, if applicable: 9. Award Amount, if known: : \$ b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):			
11. Information requested through this authorized by title 31 U.S.C. section 1352 of lobbying activities is a material repressupon which reliance was placed by the tithis transaction was made or entered into is required pursuant to 31 U.S.C. 1352. I will be reported to the Congress semi-an available for public inspection. Any personal content of the congress semi-and available for public inspection.	2. This disclosure entation of fact er above when o. This disclosure This information nually and will be	Print Name:			
available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.		receptione (vo.:	Datc		
Federal Use Only		Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)			

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

- 1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
- 2. Identify the status of the covered Federal action.
- 3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
- 4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
- 5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
- 6. Enter the name of the Federal agency making the award or loan commitment. Include at least

- one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
- 7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
- 8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
- 9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
- 10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.
 - (b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
- 11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 2050

SECTION D

TRANSMITTAL INSTRUCTIONS AND APPLICATION CHECKLIST

Application Transmittal Instructions

In order to apply for a grant and be considered for funding you must meet the deadline requirements below:

Applications Sent By Mail:

You must mail the original and two copies of the application on or before the deadlines. To help expedite our review of your application, we would appreciate you voluntarily including one additional copy of your application.

U.S. Department of Education Application Control Center Attention: CFDA# 84.350 (Add appropriate suffix letter. See page C-3.) Washington, DC 20202-4725

You must show one of the following as proof of mailing:

- (1) A legibly dated U.S. Postal Service Postmark;
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service;
- (3) A dated shipping label, invoice, or receipt from a commercial carrier;
- (4) Any other proof of mailing acceptable to the U.S. Secretary of Education.

If you mail an application through the U.S. Postal Service, please note that we do not accept either of the following as proof of mailing:

- (1) A private metered postmark;
- (2) A mail receipt that is not dated by the U.S. Postal Services.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, please check with your local post office.

Special Note: Due to recent disruptions to normal mail delivery, the Department encourages you to consider using an alternative delivery method (e.g., a commercial carrier such as Federal Express or United Parcel Service; U.S. Postal Service Express Mail; or a courier service) to transmit your application for this competition to the Department. If you use an alternative delivery method, please obtain the appropriate proof of mailing under "Applications Sent by Mail," or follow the

instructions for "Applications Delivered by Hand."

Applications Delivered by Hand:

To help expedite our review of your application, we would appreciate you voluntarily including one additional copy of your application.

U.S. Department of Education Application Control Center Attention: CFDA# 84.350 (Add appropriate suffix letter. See page C-3.) 7th and D Streets, SW ROB-3, Room 3671 Washington, DC 20202-4725

The Application Control Center will accept deliveries daily between 8:00 a.m. and 4:30 p.m.(EST), except Saturdays, Sundays, and Federal holidays. The Center accepts application deliveries through the D Street entrance only. A person delivering an application must show identification to enter the building.

Application Checklist

Does []	your application include each of the following? Application for Federal Education Assistance (SF 424) circle appropriate project category
[]	Table of Contents
[]	Proof of Eligibility
[]	Project Category Selection Sheet (Section C)
[]	Project Abstract
[]	Application Requirements Checklist (Section C)
[]	Project Narrative
[]	Response to Section 427 of GEPA Guidance (Section B)
[]	ED Form 524 and Budget Narrative
[]	Assurances and Certifications [] AssurancesNon-Construction Programs [] Certifications Regarding Lobbying; Debarment; Suspension, and Other Responsibility Matters; Drug-Free Workplace Requirements [] Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion- Lower Tier Covered Transactions [] Disclosure of Lobbying Activity
Did Yo	ou – Check the proper CFDA Number on Form SF 424?
[]	Include a Table of Contents?
[]	Provide one (1) original plus three (3) copies of the application?
[]	Include all required forms with original signatures and dates?
[]	Submit a copy of the application to the State Single Point of Contact (if applicable)?
[]	Include "Attention: CFDA 84.350 and the appropriate suffix letter, A, B, or C" on the cover and envelope containing your application package?
[]	Adhere to the page limit described in Section C?
[]	Consecutively number all pages in your application package?

SECTION E

LEGAL DOCUMENTS:

Federal Register Notice

ESEA Statutory Provisions

Related Statutory Information 4000-01-U

DEPARTMENT OF EDUCATION

(CFDA No.: 84.350A)

Office of Elementary and Secondary Education

Transition to Teaching Program

Notice inviting applications for new awards for fiscal year (FY) 2002.

PURPOSES OF PROGRAM: The Transition to Teaching program supports the recruitment and retention of highly qualified mid-career professionals, school paraprofessionals, and recent college graduates as teachers in high-need schools, through use of existing, or development and enhancement of new, alternative routes to certification.

ELIGIBLE APPLICANTS: A State educational agency (SEA); a high-need local educational agency (LEA); a for-profit or nonprofit organization with a proven record of effectively recruiting and retaining highly qualified teachers, in partnership with a high-need LEA or an SEA; an institution of higher education (IHE), in partnership with a high-need LEA or an SEA; a regional consortium of SEAs; or a consortium of high-need LEAs.

<u>APPLICATION AVAILABLE</u>: (INSERT DATE OF PUBLICATION IN THE FEDERAL REGISTER).

DEADLINE FOR TRANSMITTAL OF APPLICATIONS: (INSERT DATE 45
DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER).

DEADLINE FOR INTERGOVERNMENTAL REVIEW: (INSERT DATE 105
DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER).

ESTIMATED AVAILABLE FUNDS: Approximately \$35,000,000. The
Department has established separate funding categories for
projects of different scope. These categories are

(1) national/regional projects, where placement of teachers
would be in LEAs in more than one State; (2) statewide
projects, where placement of teachers would be statewide or
in LEAs scattered across a particular State; and (3) local
projects, where placement of teachers would be in one LEA
or in two or more LEAs located in close proximity to one
another.

The estimated available funds for each category is as follows: National/regional projects: \$7,750,000; Statewide projects: \$15,000,000; Local projects: \$12,500,000.

Funds available in future years depend on the level of Congressional appropriations.

ESTIMATED RANGE OF AWARDS: National/regional projects -\$300,000-\$1,200,000 per year; Statewide projects -\$150,000-\$600,000 per year; Local projects -- \$50,000\$400,000 per year.

ESTIMATED AVERAGE SIZE OF AWARDS: National/regional projects -- \$750,000 per year; Statewide projects -- \$375,000 per year; Local projects -- \$225,000 per year.

ESTIMATED NUMBER OF AWARDS: National/regional grants -- 10; Statewide grants -- 37; Local grants -- 60.

MAXIMUM AWARDS: The maximum award amounts are expected to be \$1,200,000 per year for a National/Regional project, \$600,000 per year for a Statewide project, or \$400,000 per year for a Local project. Absent exceptional circumstances, the Department does not intend to make awards in excess of these amounts.

 $\underline{\text{Note:}}$ The Department is not bound by any estimates in this notice.

PROJECT PERIOD: Up to 60 months.

APPLICABLE REGULATIONS: (a) The Education Department

General Administrative Regulations (EDGAR) in 34 CFR part,

74, 75, 77, 79, 80, 82, 85, 86, 97, 98, and 99. (b) The

special rules announced in this notice.

<u>PAGE LIMIT</u>. The application narrative is where applicants address the selection criteria that reviewers use to evaluate applications. Applicants must limit the narrative to the equivalent of no more than 50 pages, using the following standards:

• A page is $8.5" \times 11"$, on one side only, with 1"

margins at the top, bottom and both sides.

- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch).
- For charts, tables, and graphs, also use a font that is either 12-point or larger or no smaller than 10-pitch.

 Reviewers will not read any pages of applications that --
- Exceed the page limit if one applies these standards; or
- Exceed the equivalent of the page limit if one applies other standards.

SUPPLEMENTAL INFORMATION: On January 8, 2002, President
Bush signed the No Child Left Behind Act of 2001 (Pub. L.
107-110) (NCLB) into law. NCLB, which substantially
revises the Elementary and Secondary Education Act of 1965
(ESEA), is intended to provide all of America's students
with the opportunity and means to achieve academic success.
It embodies the four key principles of the President's
education reform plan: (1) accountability for results, (2)

expanded State and local flexibility and reduced "red tape," (3) expanded choices for parents, and (4) focusing resources on proven educational methods.

These principles aim to produce fundamental reforms in classrooms throughout America. NCLB provides officials and educators at the school, school district, and State levels substantial flexibility to plan and implement school programs that will help close the achievement gap between disadvantaged and minority students and their peers. At the same time, the reauthorized Act holds school officials accountable — to parents, students, and the public — for achieving results. These and other major changes to the ESEA redefine the Federal role in K-12 education to focus on improving the academic performance of all students.

The full text of this law may be found on the Internet at:

http://www.ed.gov/legislation/ESEA02/

Ensuring that all students in this Nation succeed academically will require America's schools to hire and retain high-quality teachers as never before. Our responsibility to ensure that all students meet challenging content and performance standards, and ensure that no child is left behind, means that the 2.2 million teachers that our schools will need to hire over the next ten years will

need to have thorough subject-matter knowledge of the areas they teach and effective teaching skills.

Yet many of our highest-need schools and LEAs are hard pressed to find enough well-qualified applicants, particularly in such fields as mathematics and science. As school enrollments continue to grow and retirements from the current teacher force increase, the Nation's teacher recruitment and preparation challenges will grow even more daunting.

Recognizing the importance of highly qualified teachers, Congress created in Title II of the ESEA a means for helping schools and LEAs to prepare, recruit, and retain highly qualified teachers and principals. The Transition to Teaching program is one of the components of Title II. It is designed to help the Nation's most severely pressed LEAs to supplement their efforts to secure highly qualified teachers by enabling those LEAs to hire and retain as teachers talented candidates from other professions and nontraditional backgrounds. The program does so by -

(1) Making use, or fostering the development and enhancement of, State-sanctioned alternative routes to teaching;

- (2) Supporting both recruitment efforts to find teacher candidates from non-traditional backgrounds, and the financial incentives these candidates may need to make the career change into teaching;
- (3) Helping these teacher candidates to gain State certification; and
- (4) Making available quality mentoring and other follow-up support during these individuals' initial years in the classroom.

PRIORITY:

Under 34 CFR 75.105(c)(2)(i), the Department awards a competitive preference to an application that meets the following statutory priority:

Consistent with the statutory priority in ESEA section 2313(c), the Secretary awards five (5) additional points to a partnership or consortium that includes either a "highneed LEA" or a "high-need SEA." See the "Definitions" section of this notice for the meaning of these terms.

WAIVER OF PROPOSED RULEMAKING: It is the Secretary's practice, in accordance with the Administrative Procedure Act (5 U.S.C. 553), to offer interested parties the opportunity to comment on proposed rules and competitive preferences. Section 437(d)(1) of the General Education Provisions Act (GEPA), however, allows the Secretary to

exempt from rulemaking requirements rules governing the first grant competition under a new or substantially revised program authority (20 U.S.C. 1232(d)(1)). The Secretary, in accordance with section 437(d)(1) of GEPA, has decided to forego public comment in order to ensure timely grant awards.

REQUIREMENTS FOR FY 2002 COMPETITION:

Selection Criteria. The Secretary will use selection criteria in section 75.209 of EDGAR to evaluate each application. An applicant may earn up to 100 points on the basis of its response to these selection criteria. The general subject areas and the corresponding maximum number of points are:

Need for Project (10 points)

Quality of the Project Design (25 points)

Quality of Project Services (20 points)

Quality of project Personnel (10 points)

Adequacy of Resources (10 points)

Quality of the Management Plan (10 points)

Quality of the Project Evaluation (15 points)

A full statement of the section criteria, and required application descriptions that must be provided in response to these criteria, is contained in the application package for this program.

Requirements For Application Content. ESEA section

2313(d)(2) identifies information that must be included in
any application the Department would fund. As explained in
the program's application package, we are requiring
applicants to address this information in response to
specific selection criteria.

<u>Definitions</u>. For purposes of the Transition to Teaching Program—

"High-need LEA" means an LEA that--

- 1.(a) Serves not fewer than 10,000 children from families with incomes below the poverty line, or (b) for which not less than 20 percent of the children served by the LEA are from families with incomes below the poverty line, and
- 2. For which there is (a) a high percentage of teachers not teaching in the academic subjects or grade levels the teachers were trained to teach, or (b) a high percentage of teachers with emergency, provisional, or temporary certification or licensing. See ESEA section 2102(3).

Applicants will need to include information in their applications that demonstrates that they, or the LEA(s) with which they will work, meet this definition.

Note: For purposes of the four elements of this statutory definition of high-need LEA:

1.(a) The total number of children in poverty, as
referenced above, can be found on the Census Bureau Web
site at:

http://www.census.gov/housing/saipe/sd97/
This site reports the number of children in poverty for every school district in the United States. Locate the file for your State's data, and find your LEA. The sixth column provides the number of children in poverty.

1.(b) LEA poverty rates referenced in 1(b) of the definition of high-need LEA can be accessed on the Department's Web site at the following address:

www.ed.gov/offices/OESE/reap.html

See at this address "Application Instructions" and find the appropriate spreadsheet for the "State" in which the LEA is located. Column 11 identifies the percentage of an LEA's children from families below the poverty line. These poverty rates are available for LEAs that are included in the National Center for Education Statistics (NCES) Common Core of Data (CCD).

An LEA not included in the CCD must provide other data, such as the adjusted poverty data that its State used

to make its Title I allocations, to demonstrate its eligibility.

- 2.(a) The Department does not have available to it suitable data with which to define a "high percentage" of teachers not teaching in the academic subjects or grade levels the teachers were trained to teach. Therefore, to be eligible to receive an award, LEAs unable to meet the definition immediately below for "high percentage of teachers with emergency, provisional, or temporary certification or licensing" will need to demonstrate to the Department's satisfaction that they have a high percentage of teachers not teaching in the academic subjects or grade levels the teachers were trained to teach. The Department will review this aspect of the applications on a case-by-case basis.
- 2.(b) The best data available to the Department on the percentage of teachers with emergency, provisional, or temporary certification or licensing comes from the reports on the quality of teacher preparation that States provided to the Department in October 2001 under section 207 of the Higher Education Act (HEA). Specifically, States provided the percentage of teachers in their LEAs teaching on waivers, both on a statewide basis and in high-poverty LEAs. Based on data from these reports, the national

average of teachers on waivers in high-poverty LEAs is 11 percent. The Secretary has determined that, for purposes of the definition of high-need LEA in section 2102, an LEA with at least 11 percent of its teachers teaching with emergency, provisional, or temporary certification or licensing, i.e., without an initial or more advanced State (or, where applicable, LEA) teaching certification or license, has a "high percentage" of these teachers and so meets the statutory definition.

"High-need SEA" means an SEA of a State in which at least one LEA is a high-need LEA.

Note: While the ESEA requires the Department to give priority to applications from a partnership or consortium that includes a "high-need LEA" or "high-need SEA," the ESEA does not define the term "high-need SEA." Our definition of this term enables all SEAs to be considered high-need SEAs. However, a few States provided in their October 2001 reports to the Department under section 207 of the HEA on the quality of teacher preparation that they had no individuals teaching on waivers. To be a high-need SEA, the SEA in these States would have to demonstrate that at least one LEA in the State (1) meets one of the poverty criteria in paragraph 1(b) of the definition of high-need LEA, and (2) has a high percentage of teachers not teaching

in the academic subjects or grade levels the teachers were trained to teach (paragraph 2(a) of that definition.)

"High-need school" means a school that--

- 1. Is located in an area in which the percentage of students from families with incomes below the poverty line is 30 percent or more; or
 - 2. Is--
- (a) Located in an area with a high percentage of teachers who are teaching an academic subject or a grade level for which they are not highly qualified. (See ESEA section 9101(23) for the definition of "highly qualified".)
- (b) Within the top quartile of elementary schools and secondary schools statewide, as ranked by the number of unfilled, available teacher positions at the schools;
- (c) Located in an area in which there is a high teacher turnover rate; or
- (d) Located in an area in which there is a high percentage of teachers who are not certified or licensed.

Note: Program grantees are to define the elements of this statutory definition of "high-need school" in ways that reflect, as much as possible, the meanings of related elements in the definition of "high-need LEA."

Final Project Year Activities. A recipient of a multiyear grant may use program funds to recruit several cohorts of

eligible participants and have them hired as teachers in high-need schools of participating LEAs. However, in order to ensure that grantees (and the LEAs with which they partner) provide to all teachers recruited and hired through this program at least one year of intensive follow-up support in order adequately to train (and help to retain) these individuals as high-quality teachers, program funds may not be used to hire individuals as teachers after the end of the second to last project period. Therefore, a grantee that receives a five-year award (the maximum project period), for example, may not use program funds to recruit and hire teachers after the end of the 2005-06 school year.

Evaluation and Accountability. ESEA section 2314 requires grantees to submit to the Department and to the Congress interim and final reports at the end of the third and fifth years of the grant period, respectively. Subparagraph (b) of this section provides that these reports must contain the results of the grantee's interim and final evaluation, which must describe the extent to which high-need LEAs that received funds through the grant have met their goals relating to teacher recruitment and retention as described in the project application.

However, while each funded project must promote the recruitment and retention of new teachers in specific identified LEAs, because eligible grant recipients are not limited to LEAs it is possible that one or ore funded project will not provide funding to participating LEAs. In order that all project evaluations provide relevant information on the extent to which the project is meeting these LEA goals, the Department has determined that the interim and final evaluations must describe the extent to which LEAs that receive program funds or otherwise participate in funded projects have met their teacher recruitment and retention goals.

Limitation On Indirect Costs. The success of the

Transition to Teaching Program will depend upon how well

grantees and the high-need LEAs with whom they work

recruit, hire, train, and retain highly qualified

individuals from other professions and backgrounds to

become teachers. If the program is to achieve its purpose,

we need to ensure that the \$35 million FY 2002

appropriation is used as effectively as possible. To do

so, it is necessary to place a reasonable limitation on the

amount of program funds that grant recipients may use to

reimburse themselves for the "indirect costs" of program

activities. Therefore, the Secretary has decided to

establish a reasonable limit of eight percent on the indirect cost rate that all program recipients may charge to funds provided under this program.

For reasons we have offered in a limited number of other competitive grant programs that focus on improving teacher quality academically, we believe that a similar limitation on a recipient's indirect costs is necessary here to ensure that program funds are used to secure the school teachers that Congress had intended. See, e.g., the analyses of (1) 34 CFR section 611.61, as proposed, that govern the Teacher Quality Enhancement Grants program, authorized by Title II, Part A of the Higher Education Act (65 FR 6936, 6940 (February 11, 2000), and (2) requirements for the FY 2001 grants competition under the Transition to Teaching program authorized in the FY 2001 Department of Education Appropriations Act, Public Law 106-554 (66 FR 19673, 19676-77).

FOR APPLICATIONS CONTACT: Education Publications Center (ED Pubs), P.O. Box 1398, Jessup, MD 20794-1398. Telephone (toll free): 1-877-433-7827. FAX: (301) 470-1244. If you use a telecommunications device for the deaf (TDD) you may call (toll free): 1-877-576-7734.

You may also contact ED Pubs at its Web site:

http://www.ed.gov/about/ordering.jsp

Or you may contact ED Pubs at its e-mail address:

edpubs@inet.ed.gov

If you request an application from ED Pubs, be sure to identify this competition as follows: CFDA number 84.350A.

A copy of the application package also may be obtained electronically at the following Web site:

http://www.ed.gov/GrantApps/

FOR FURTHER INFOMRATION CONTACT: Dr. Frances Yvonne Hicks, U.S. Department of Education, Office of Elementary and Secondary Education, 400 Maryland Avenue, SW, Room 3C153, Washington, DC 20202-6140. Telephone: 202 260-0964. Inquiries may also be sent by e-mail to:

transitiontoteaching@ed.gov

or by FAX to: (202) 205-5630.

If you use a telecommunications device for the deaf (TDD), you may call THE federal Information Relay Service (FIRS) at 1-800-877-8339.

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the program contact person listed under FOR FURTHER INFORMATION
CONTACT.

Individuals with disabilities may obtain a copy of the application package in an alternative format by contacting

ED PUBS. However, the Department is not able to reproduce in an alternative format the standard forms included in the application package.

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<u>Register</u>, in text or Adobe Portable Document Format (PDF)

on the Internet at the following site:

www.ed.gov/legislation/FedRegister

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http://www.access.gpo.gov/nara/index.html

PROGRAM AUTHORITY: 20 U.S.C. 6683.

Dated:

Susan B. Neuman, Ed.D.

Assistant Secretary for

Elementary and Secondary

Education.

ESEA PROGRAM STATUTE

TRANSITION TO TEACHING PROGRAM STATUTE

Title II, Part C, Subpart 1 of the Elementary and Secondary Education Act of 1965 (ESEA), as amended by the No Child Left Behind Act of 2001 (P.L. 107.110)

CHAPTER B--TRANSITION TO TEACHING PROGRAM

SEC. 2311. PURPOSES.

The purposes of this chapter are--

- (1) to establish a program to recruit and retain highly qualified midcareer professionals (including highly qualified paraprofessionals), and recent graduates of an institution of higher education, as teachers in high-need schools, including recruiting teachers through alternative routes to certification; and
- (2) to encourage the development and expansion of alternative routes to certification under State-approved programs that enable individuals to be eligible for teacher certification within a reduced period of time, relying on the experience, expertise, and academic qualifications of an individual, or other factors in lieu of traditional course work in the field of education.

SEC. 2312. DEFINITIONS.

In this chapter:

- (1) ELIGIBLE PARTICIPANT- The term `eligible participant' means-
 - (A) an individual with substantial, demonstrable career experience, including a highly qualified paraprofessional; or
 (B) an individual who is a graduate of an institution of higher education who--
 - (i) has graduated not more than 3 years before applying to an eligible entity to teach under this chapter; and
 - (ii) in the case of an individual wishing to teach in a secondary school, has completed an academic major (or courses totaling an equivalent number of credit hours) in the academic subject that the individual will teach.
- (2) HIGH-NEED LOCAL EDUCATIONAL AGENCY- The term highneed local educational agency' has the meaning given the term in section 2102.

- (3) HIGH-NEED SCHOOL- The term 'high-need school' means a school that--
 - (A) is located in an area in which the percentage of students from families with incomes below the poverty line is 30 percent or more; or
 - (B)(i) is located in an area with a high percentage of out-offield teachers, as defined in section 2102;
 - (ii) is within the top quartile of elementary schools and secondary schools statewide, as ranked by the number of unfilled, available teacher positions at the schools;
 - (iii) is located in an area in which there is a high teacher turnover rate; or
 - (iv) is located in an area in which there is a high percentage of teachers who are not certified or licensed.

SEC. 2313. GRANT PROGRAM.

- (a) IN GENERAL- The Secretary may establish a program to make grants on a competitive basis to eligible entities to develop State and local teacher corps or other programs to establish, expand, or enhance teacher recruitment and retention efforts.
- (b) ELIGIBLE ENTITY- To be eligible to receive a grant under this section, an entity shall be--
 - (1) a State educational agency;
 - (2) a high-need local educational agency;
 - (3) a for-profit or nonprofit organization that has a proven record of effectively recruiting and retaining highly qualified teachers, in a partnership with a high-need local educational agency or with a State educational agency;
 - (4) an institution of higher education, in a partnership with a highneed local educational agency or with a State educational agency;
 - (5) a regional consortium of State educational agencies; or
 - (6) a consortium of high-need local educational agencies.
- (c) PRIORITY- In making such a grant, the Secretary shall give priority to a partnership or consortium that includes a high-need State educational agency or local educational agency.
- (d) APPLICATION-
 - (1) IN GENERAL- To be eligible to receive a grant under this section, an entity described in subsection (b) shall submit an application to the Secretary at such time, in such manner, and containing such information as the Secretary may require.
 - (2) CONTENTS- The application shall describe--
 - (A) one or more target recruitment groups on which the applicant will focus its recruitment efforts;
 - (B) the characteristics of each such target group that--

- (i) show the knowledge and experience of the group's members; and
- (ii) demonstrate that the members are eligible to achieve the objectives of this section;
- (C) describe how the applicant will use funds received under this section to develop a teacher corps or other program to recruit and retain highly qualified midcareer professionals (which may include highly qualified paraprofessionals), recent college graduates, and recent graduate school graduates, as highly qualified teachers in high-need schools operated by high-need local educational agencies;
- (D) explain how the program carried out under the grant will meet the relevant State laws (including regulations) related to teacher certification or licensing and facilitate the certification or licensing of such teachers;
- (E) describe how the grant will increase the number of highly qualified teachers, in high-need schools operated by high-need local educational agencies (in urban or rural school districts), and in high-need academic subjects, in the jurisdiction served by the applicant; and
- (F) describe how the applicant will collaborate, as needed, with other institutions, agencies, or organizations to recruit (particularly through activities that have proven effective in retaining highly qualified teachers), train, place, support, and provide teacher induction programs to program participants under this chapter, including providing evidence of the commitment of the institutions, agencies, or organizations to the applicant's programs.
- (e) DURATION OF GRANTS- The Secretary may make grants under this section for periods of 5 years. At the end of the 5-year period for such a grant, the grant recipient may apply for an additional grant under this section.
- (f) EQUITABLE DISTRIBUTION- To the extent practicable, the Secretary shall ensure an equitable geographic distribution of grants under this section among the regions of the United States.
- (g) USES OF FUNDS-
 - (1) IN GENERAL- An entity that receives a grant under this section shall use the funds made available through the grant to develop a teacher corps or other program in order to establish, expand, or enhance a teacher recruitment and retention program for highly qualified mid-career professionals (including highly qualified paraprofessionals), and recent graduates of an institution of higher education, who are eligible participants, including activities that provide alternative routes to teacher certification.

- (2) AUTHORIZED ACTIVITIES- The entity shall use the funds to carry out a program that includes two or more of the following activities:
 - (A) Providing scholarships, stipends, bonuses, and other financial incentives, that are linked to participation in activities that have proven effective in retaining teachers in high-need schools operated by high-need local educational agencies, to all eligible participants, in an amount not to exceed \$5,000 per participant.
 - (B) Carrying out pre- and post-placement induction or support activities that have proven effective in recruiting and retaining teachers, such as--
 - (i) teacher mentoring;
 - (ii) providing internships;
 - (iii) providing high-quality, preservice coursework; and
 - (iv) providing high-quality, sustained inservice professional development.
 - (C) Carrying out placement and ongoing activities to ensure that teachers are placed in fields in which the teachers are highly qualified to teach and are placed in high-need schools.
 - (D) Making payments to pay for costs associated with accepting teachers recruited under this section from among eligible participants or provide financial incentives to prospective teachers who are eligible participants.
 - (E) Collaborating with institutions of higher education in developing and implementing programs to facilitate teacher recruitment (including teacher credentialing) and teacher retention programs.
 - (F) Carrying out other programs, projects, and activities that are designed and have proven to be effective in recruiting and retaining teachers, and that the Secretary determines to be appropriate.
 - (G) Developing long-term recruitment and retention strategies including developing--
 - (i) a statewide or regionwide clearinghouse for the recruitment and placement of teachers;
 - (ii) administrative structures to develop and implement programs to provide alternative routes to certification;
 - (iii) reciprocity agreements between or among States for the certification or licensing of teachers; or
 - (iv) other long-term teacher recruitment and retention strategies.
- (3) EFFECTIVE PROGRAMS- The entity shall use the funds only for programs that have proven to be effective in both recruiting and retaining teachers.

(h) REQUIREMENTS-

- (1) TARGETING- An entity that receives a grant under this section to carry out a program shall ensure that participants in the program recruited with funds made available under this section are placed in high-need schools operated by high-need local educational agencies. In placing the participants in the schools, the entity shall give priority to the schools that are located in areas with the highest percentages of students from families with incomes below the poverty line.
- (2) SUPPLEMENT, NOT SUPPLANT- Funds made available under this section shall be used to supplement, and not supplant, State and local public funds expended for teacher recruitment and retention programs, including programs to recruit the teachers through alternative routes to certification.
- (3) PARTNERSHIPS AND CONSORTIA OF LOCAL EDUCATIONAL AGENCIES- In the case of a partnership established by a local educational agency to carry out a program under this chapter, or a consortium of such agencies established to carry out a program under this chapter, the local educational agency or consortium shall not be eligible to receive funds through a State program under this chapter.
- (i) PERIOD OF SERVICE- A program participant in a program under this chapter who receives training through the program shall serve a high-need school operated by a high-need local educational agency for at least 3 years.
- (j) REPAYMENT- The Secretary shall establish such requirements as the Secretary determines to be appropriate to ensure that program participants who receive a stipend or other financial incentive under subsection (g)(2)(A), but fail to complete their service obligation under subsection (i), repay all or a portion of such stipend or other incentive. (k) ADMINISTRATIVE FUNDS- No entity that receives a grant under this section shall use more than 5 percent of the funds made available through the grant for the administration of a program under this chapter carried out under the grant.

SEC. 2314. EVALUATION AND ACCOUNTABILITY FOR RECRUITING AND RETAINING TEACHERS.

- (a) EVALUATION- Each entity that receives a grant under this chapter shall conduct--
 - (1) an interim evaluation of the program funded under the grant at the end of the third year of the grant period; and
 - (2) a final evaluation of the program at the end of the fifth year of the grant period.

- (b) CONTENTS- In conducting the evaluation, the entity shall describe the extent to which local educational agencies that received funds through the grant have met the goals relating to teacher recruitment and retention described in the application.
- (c) REPORTS- The entity shall prepare and submit to the Secretary and to Congress interim and final reports containing the results of the interim and final evaluations, respectively.
- (d) REVOCATION- If the Secretary determines that the recipient of a grant under this chapter has not made substantial progress in meeting such goals and the objectives of the grant by the end of the third year of the grant period, the Secretary--
 - (1) shall revoke the payment made for the fourth year of the grant period; and
 - (2) shall not make a payment for the fifth year of the grant period.

RELATED STATUTORY INFORMATION

PROGRAM DEFINITIONS

HIGH-NEED LOCAL EDUCATIONAL AGENCY - Section 2103(3). Under this definition, the term high-need LEA means an LEA –

- 1.(a) that serves not fewer than 10,000 children from families with incomes below the poverty line; or
 - 1.(b) for which not less than 20 percent of the children served by the agency are from families with incomes below the poverty line; and
- 2.(a) for which there is a high percentage of teachers not teaching in the subjects or grade levels that the teachers were trained to teach; or
 - 2.(b) for which a high percentage of teachers with emergency, provisional, or temporary certification or licensing. (Note: for reasons discussed below, the Department interprets the "high percentage" to be at least 11 percent.)

For purposes of the four elements of this statutory definition:

1.(a) The total number of children in poverty, as referenced above, can be found on the Census Bureau Web site at:

http://www.census.gov/housing/saipe/sd97/

This site reports the number of children in poverty for every school district in the United States. Locate the file for your State's data, and find your LEA. The sixth column provides the number of children in poverty.

1.(b) LEA poverty rates referenced in 1(b) of the definition of high-need LEA can be accessed on the Department's Web site at the following address:

www.ed.gov/offices/OESE/reap.html

See at this address "Instructions and Tools for Submitting Data," and find "Its Own State Spreadsheet." Column 11 identifies the percentage of an LEA's children from

families below the poverty line. These poverty rates are available for LEAs that are included in the National Center for Education Statistics (NCES) Common Core of Data (CCD).

An LEA not included in the CCD must provide other data, such as the adjusted poverty data that its State used to make its Title I allocations, to demonstrate its eligibility.

- 2.(a) The Department does not have available to it suitable data with which to define a "high percentage" of teachers not teaching in the academic subjects or grade levels the teachers were trained to teach. Therefore, to be eligible to receive an award, LEAs unable to meet the definition immediately below for "high percentage of teachers with emergency, provisional, or temporary certification or licensing" will need to demonstrate to the Department's satisfaction that they have a high percentage of teachers not teaching in the academic subjects or grade levels the teachers were trained to teach. The Department will review this aspect of the applications on a case-by-case basis.
- 2.(b) The best data available to the Department on the percentage of teachers with emergency, provisional, or temporary certification or licensing comes from the reports on the quality of teacher preparation that States provided to the Department in October 2001 under section 207 of the Higher Education Act. Specifically, States provided the percentage of teachers in their LEAs teaching on waivers, both on a statewide basis and in high-poverty LEAs. Based on data from these reports, the national average of teachers on waivers in high-poverty LEAs is 11 percent. The Secretary has determined that, for purposes of the definition of high-need LEA in section 2102, an LEA with at least 11 percent of its teachers teaching with emergency, provisional, or temporary certification or licensing, i.e., without an initial or more advanced State (or, where applicable, LEA) teaching certification or license, has a "high percentage" of these teachers and so meets the statutory definition.

HIGH-NEED SEA means an SEA of a State in which at least one LEA is a high-need LEA.

Note: While the ESEA requires the Department to give priority to applications from a partnership or consortium that includes a "high-need LEA" or "high-need SEA," the ESEA does not define the high-need SEA. Our definition of this term enables all SEAs to be considered high-need SEAs. However, a few States provided in their October 2002 reports to the Department under section 207 of the HEA on the quality of teacher preparation that they had no individuals teaching on waivers. To be a high-need SEA, the SEA in these States would have to demonstrate that at least one LEA in the State (1) meets one of the poverty criteria in paragraph 1.(b) of the definition of high-need LEA, and (2) has a high percentage of teachers not teaching in the academic subjects or grade levels the teachers were trained to teach (paragraph 2.(a) of that definition.)

HIGH-NEED SCHOOL – Section 2312(3). A high-need school means a school that –

- (A) is located in an area where the percentage of students from families with incomes below the poverty line is 30 percent or more; or
- (B)(i) is located in an area with a high percentage of out-of-field teachers, as defined in section 2102;
 - (ii) is within the top quartile of elementary schools and secondary schools statewide, as ranked by the number of unfilled, available teacher positions at the schools;
 - (iii) is located in an area in which there is a high teacher turnover rate (15 percent or more over the last 3 years);
 - (iv) is located in an area in which there is a high percentage of teachers who are not certified or licensed.

HIGHLY QUALIFIED PARAPROFESSIONALS – Section 2102(4). The term high qualified paraprofessional means a paraprofessional who has not less that two years of –

- (A) experience in a classroom; and
- (B) postsecondary education (4 semesters) or demonstrated competence in a field or academic subject for which there is a significant shortage of qualified teachers.

HIGHLY QUALIFIED TEACHER -- the term highly qualified teacher means:

- (A) that the teacher has obtained "full State certification". "Full State certification" means that the teacher has fully met those State requirements that apply to the years of experience the teacher possesses. For example, these requirements may vary for first year teachers and veteran teachers. In addition, "full State certification" means that the teacher must not have had certification or licensure requirements waived on an emergency, temporary, or provisional basis.
- (B) any teacher who has obtained full State certification (whether he or she has achieved certification through traditional or alternative routes), has a 4-year college degree, and has demonstrated subject matter competence is considered to be "highly qualified" under the law. Teachers who are participating in an alternate route program may be considered to meet the certification requirements of the definition of a highly qualified teacher if participants in the program are permitted by the State to assume functions as regular classroom teachers and are making satisfactory progress toward full certification, as prescribed by the State and the program.

OTHER ESEA REQUIREMENTS

SEC. 1119. QUALIFICATIONS FOR TEACHERS AND PARAPROFESSIONALS.

- (a) TEACHER QUALIFICATIONS AND MEASURABLE OBJECTIVES-(1) IN GENERAL- Beginning with the first day of the first school year after the date of enactment of the No Child Left Behind Act of 2001, each local educational agency receiving assistance under this part shall ensure that all teachers hired after such day and teaching in a program supported with funds under this part are highly qualified.
 - (2) STATE PLAN- As part of the plan described in section 1111, each State educational agency receiving assistance under this part shall develop a plan to ensure that all teachers teaching in core academic subjects within the State are highly qualified not later than the end of the 2005-2006 school year. Such plan shall establish annual measurable objectives for each local educational agency and school that, at a minimum
 - (A) shall include an annual increase in the percentage of highly qualified teachers at each local educational agency and school, to ensure that all teachers teaching in core academic subjects in each public elementary school and secondary school are highly qualified not later than the end of the 2005-2006 school year;
 - (B) shall include an annual increase in the percentage of teachers who are receiving high-quality professional development to enable such teachers to become highly qualified and successful classroom teachers; and (C) may include such other measures as the State educational agency determines to be appropriate to increase teacher qualifications.
 - (3) LOCAL PLAN- As part of the plan described in section 1112, each local educational agency receiving assistance under this part shall develop a plan to ensure that all teachers teaching within the school district served by the local educational agency are highly qualified not later than the end of the 2005-2006 school year.

(b) REPORTS-

- (1) ANNUAL STATE AND LOCAL REPORTS-
 - (A) LOCAL REPORTS- Each State educational agency described in subsection (a)(2) shall require each local educational agency receiving funds under this part to publicly report, each year, beginning with the 2002-2003 school year, the annual progress of the local educational agency as a whole and of each of the schools served by the

- agency, in meeting the measurable objectives described in subsection (a)(2).
- (B) STATE REPORTS- Each State educational agency receiving assistance under this part shall prepare and submit each year, beginning with the 2002-2003 school year, a report to the Secretary, describing the State educational agency's progress in meeting the measurable objectives described in subsection (a)(2).
- (C) INFORMATION FROM OTHER REPORTS- A State educational agency or local educational agency may submit information from the reports described in section 1111(h) for the purposes of this subsection, if such report is modified, as may be necessary, to contain the information required by this subsection, and may submit such information as a part of the reports required under section 1111(h).
- (2) ANNUAL REPORTS BY THE SECRETARY- Each year, beginning with the 2002-2003 school year, the Secretary shall publicly report the annual progress of State educational agencies, local educational agencies, and schools, in meeting the measurable objectives described in subsection (a)(2).

* * * * * *

(i) VERIFICATION OF COMPLIANCE-

attestations under paragraph (1) —

- (1) IN GENERAL- In verifying compliance with this section, each local educational agency, at a minimum, shall require that the principal of each school operating a program under section 1114 or 1115 attest annually in writing as to whether such school is in compliance with the requirements of this section.

 (2) AVAILABILITY OF INFORMATION- Copies of
 - (A) shall be maintained at each school operating a program under section 1114 or 1115 and at the main office of the local educational agency; and
 - (B) shall be available to any member of the general public on request.

* * * * * *

SEC. 9101. DEFINITIONS.

Except as otherwise provided, in this Act:

- (11) CORE ACADEMIC SUBJECTS- The term core academic subjects' means English, reading or language arts, mathematics, science, foreign languages, civics and government, economics, arts, history, and geography.
- (23) HIGHLY QUALIFIED- The term highly qualified'
 - (A) when used with respect to any public elementary school or secondary school teacher teaching in a State, means that
 - (i) the teacher has obtained full State certification as a teacher (including certification obtained through alternative routes to certification) or passed the State teacher licensing examination, and holds a license to teach in such State, except that when used with respect to any teacher teaching in a public charter school, the term means that the teacher meets the requirements set forth in the State's public charter school law; and
 - (ii) the teacher has not had certification or licensure requirements waived on an emergency, temporary, or provisional basis;
 - (B) when used with respect to
 - (i) an elementary school teacher who is new to the profession, means that the teacher
 - (I) holds at least a bachelor's degree; and
 - (II) has demonstrated, by passing a rigorous State test, subject knowledge and teaching skills in reading, writing, mathematics, and other areas of the basic elementary school curriculum (which may consist of passing a State-required certification or licensing test or tests in reading, writing, mathematics, and other areas of the basic elementary school curriculum); or
 - (ii) a middle or secondary school teacher who is new to the profession, means that the teacher holds at least a bachelor's degree and has demonstrated a high level of competency in each of the academic subjects in which the teacher teaches by
 - (I) passing a rigorous State academic subject test in each of the academic subjects in which the teacher teaches (which may consist of a passing level of performance on a State-required certification or licensing test or tests in each of the academic subjects in which the teacher teaches); or (II) successful completion, in each of the academic subjects in which the teacher teaches, of an academic

major, a graduate degree, coursework equivalent to an undergraduate academic major, or advanced certification or credentialing; and

- (C) when used with respect to an elementary, middle, or secondary school teacher who is not new to the profession, means that the teacher holds at least a bachelor's degree and
 - (i) has met the applicable standard in clause (i) or (ii) of subparagraph (B), which includes an option for a test; or (ii) demonstrates competence in all the academic subjects in which the teacher teaches based on a high objective uniform State standard of evaluation that
 - (I) is set by the State for both grade appropriate academic subject matter knowledge and teaching skills;
 - (II) is aligned with challenging State academic content and student academic achievement standards and developed in consultation with core content specialists, teachers, principals, and school administrators;
 - (III) provides objective, coherent information about the teacher's attainment of core content knowledge in the academic subjects in which a teacher teaches;
 - (IV) is applied uniformly to all teachers in the same academic subject and the same grade level throughout the State;
 - (V) takes into consideration, but not be based primarily on, the time the teacher has been teaching in the academic subject;
 - (VI) is made available to the public upon request; and (VII) may involve multiple, objective measures of teacher competency.

SECTION F

OTHER IMPORTANT INFORMATION AND NOTICES

INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS

This section applies to each program that is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen Federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each of those States under the Executive order. A listing containing the Single Point of Contact for each State is included in this appendix.

In States that have not established a process or chosen a program for review, State, area-wide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372—CFDA# 84.363A, U.S. Department of Education, Room 7W100, 400 Maryland Avenue, SW., Washington, DC 20202

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the date indicated in the actual application notice.

PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION. $\underline{\text{DO}}$ NOT SEND APPLICATIONS TO THE ABOVE ADDRESS.

STATE SINGLE POINTS OF CONTACT (SPOCS)

Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen Federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows each State to designate an entity to perform this function. Below is a copy of the official list of those entities. For those States that have a home page for their designated entity, a direct link has been provided from the official version of this document from the OMB web page at the following address: http://www.whitehouse.gov/omb/grants/spoc.html

This publication by the U.S. Department of Education (ED or the Department) is an unofficial version of the State Single Point of Contact (SPOC) List published by the Office of Management and Budget (OMB). The Department has made every effort to ensure the accuracy of the information contained in this unofficial version. However, the only official version of the State Single Point of Contact (SPOC) List is posted on the Grants Management section of the OMB web site listed above.

ARKANSAS

Tracy L. Copeland
Manager, State Clearinghouse
Office of Intergovernmental Services
Department of Finance and
Administration
1515 W. 7th St., Room 412
Little Rock, Arkansas 72203
Telephone: (501) 682-1074
Fax: (501) 682-5206

CALIFORNIA

Grants Coordination State Clearinghouse Office of Planning and Research P.O. Box 3044, Room 222 Sacramento, California 95812-3044 Telephone: (916) 445-0613 Fax: (916) 323-3018 state.clearinghouse@opr.ca.gov

DELAWARE

Charles H. Hopkins
Executive Department
Office of the Budget
540 S. Dupont Highway, 3rd Floor
Dover, Delaware 19901
Telephone: (302) 739-3323
Fax: (302) 739-5661
chopkins@state.de.us

tlcopeland@dfa.state.ar.us

DISTRICT OF COLUMBIA Luisa Montero-Diaz

Office of Partnerships and Grants Development
Executive Office of the Mayor
District of Columbia Government
441 4th Street, NW, Suite 530 South
Washington, DC 20001
Telephone: (202) 727-8900
Fax: (202) 727-1652
opgd.eom@dc.gov

FLORIDA

Jasmin Raffington Florida State Clearinghouse Department of Community Affairs 2555 Shumard Oak Blvd. Tallahassee, Florida 32399-2100 Telephone: (850) 922-5438 Fax: (850) 414-0479

clearinghouse@dca.state.fl.us

GEORGIA

Georgia State Clearinghouse 270 Washington Street, SW Atlanta, Georgia 30334 Telephone: (404) 656-3855 Fax: (404) 656-7901 gach@mail.opb.state.ga.us

ILLINOIS

Virginia Bova

Department of Commerce and Community Affairs

James R. Thompson Center

100 West Randolph, Suite 3-400

Chicago, Illinois 60601 Telephone: (312) 814-6028

Fax (312) 814-8485

vbova@commerce.state.il.us

IOWA

Steven R. McCann

Division of Community and Rural

Development

Iowa Department of Economic Development

200 East Grand Avenue Des Moines, Iowa 50309 Telephone: (515) 242-4719

Fax: (515) 242-4809

steve.mccann@ided.state.ia.us

KENTUCKY

Ron Cook

Department for Local Government 1024 Capital Center Drive, Suite 340

Frankfort, Kentucky 40601 Telephone: (502) 573-2382

Fax: (502) 573-2512 ron.cook@mail.state.ky.us

MAINE

Joyce Benson

State Planning Office

184 State Street

38 State House Station

Augusta, Maine 04333 Telephone: (207) 287-3261

Telephone: (207) 287-326. (207) 287-1461 (direct)

Fax: (207) 287-6489

joyce.benson@state.me.us

MARYLAND

Linda Janey

Manager, Clearinghouse and Plan Review Unit

Maryland Office of Planning

301 West Preston Street - Room 1104

Baltimore, Maryland 21201-2305

Telephone: (410) 767-4490

Fax: (410) 767-4480 linda@mail.op.state.md.us

MICHIGAN

Richard Pfaff

Southeast Michigan Council of Governments

535 Griswold, Suite 300 Detroit, Michigan 48226

Telephone: (313) 961-4266 Fax: (313) 961-4869

pfaff@semcog.org

MISSISSIPPI

Cathy Mallette

Clearinghouse Officer
Department of Finance and

Administration

1301 Woolfolk Building, Suite E

501 North West Street
Jackson, Mississippi 39201
Telephone: (601) 359-6762

Fax: (601) 359-6758

MISSOURI

Angela Boessen

Federal Assistance Clearinghouse

Office of Administration

P.O. Box 809

Truman Building, Room 840

Jefferson City, Missouri 65102

Telephone: (573) 751-4834

Fax: (573) 522-4395

igr@mail.oa.state.mo.us

NEVADA

Heather Elliott

Department of Administration

State Clearinghouse

209 E. Musser Street, Room 200

Carson City, Nevada 89701 Telephone: (775) 684-0209

Fax: (775) 684-0260

helliott@govmail.state.nv.us

NEW HAMPSHIRE

Jeffrey H. Taylor

Director

New Hampshire Office of State Planning

Attn: Intergovernmental Review Process

Mike Blake

2-1/2 Beacon Street

Concord, New Hampshire 03301

Telephone: (603) 271-2155

Fax: (603) 271-1728 jtaylor@osp.state.nh.us

NEW MEXICO

Ken Hughes

Local Government Division

Room 201 Bataan Memorial Building

Santa Fe, New Mexico 87503 Telephone: (505) 827-4370

Fax: (505) 827-4948 khughes@dfa.state.nm.us

NORTH CAROLINA

Jeanette Furney

Department of Administration 1302 Mail Service Center

Raleigh, North Carolina 27699-1302

Telephone: (919) 807-2323 Fax: (919) 733-9571

jeanette.furney@ncmail.net

NORTH DAKOTA

Jim Boyd

Division of Community Services 600 East Boulevard Ave, Dept 105 Bismarck, North Dakota 58505-0170

Telephone: (701) 328-2094 Fax: (701) 328-2308 jboyd@state.nd.us

RHODE ISLAND

Kevin Nelson

Department of Administration Statewide Planning Program

One Capitol Hill

Providence, Rhode Island 02908-5870

Telephone: (401) 222-2093

Fax: (401) 222-2083 knelson@doa.state.ri.us

SOUTH CAROLINA

Omeagia Burgess

Budget and Control Board Office of State Budget 1122 Ladies Street, 12th Floor

Columbia, South Carolina 29201 Telephone: (803) 734-0494

Fax: (803) 734-0645 aburgess@budget.state.sc.us

TEXAS

Denise S. Francis

Director, State Grants Team

Governor's Office of Budget and Planning

P.O. Box 12428 Austin, Texas 78711

Telephone: (512) 305-9415

Fax: (512) 936-2681

dfrancis@governor.state.tx.us

UTAH

Carolyn Wright

Utah State Clearinghouse

Governor's Office of Planning and

Budget

State Capitol, Room 114 Salt Lake City, Utah 84114

Telephone: (801) 538-1535 Fax: (801) 538-1547 cwright@gov.state.ut.us

WEST VIRGINIA Fred Cutlip, I

Fred Cutlip, Director

Community Development Division
West Virginia Development Office

Building #6, Room 553

Charleston, West Virginia 25305

Telephone: (304) 558-4010 Fax: (304) 558-3248

fcutlip@wvdo.org

WISCONSIN

Jeff Smith

Section Chief, Federal/State

Relations

Wisconsin Department of

Administration

101 East Wilson Street - 6th Floor

P.O. Box 7868

Madison, Wisconsin 53707 Telephone: (608) 266-0267

Fax: (608) 267-6931

jeffrey.smith@doa.state.wi.us

AMERICAN SAMOA

Pat M. Galea'i

Federal Grants/Programs Coordinator

Office of Federal Programs

Office of the Governor/Department

of Commerce

American Samoa Government

Pago Pago, American Samoa 96799

Telephone: (684) 633-5155

Fax: (684) 633-4195

pmgaleai@samoatelco.com

GUAM

Director

Bureau of Budget and Management

Research

Office of the Governor

P.O. Box 2950

Agana, Guam 96910

Telephone: 011-671-472-2285

Fax: 011-472-2825 jer@ns.gov.gu

PUERTO RICO

Jose Caballero / Mayra Silva Puerto Rico Planning Board Federal Proposals Review Office

Minillas Government Center

P.O. Box 41119

San Juan, Puerto Rico 00940-1119

Telephone: (787) 723-6190

Fax: (787) 722-6783

NORTH MARIANA ISLANDS

Ms. Jacoba T. Seman Federal Programs Coordinator Office of Management and Budget Office of the Governor

Saipan, MP 96950

Telephone: (670) 664-2289 Fax: (670) 664-2272

omb.jseman@saipan.com

VIRGIN ISLANDS

Ira Mills

Director, Office of Management and Budget #41 Norre Gade Emancipation Garden

Station, Second Floor

Saint Thomas, Virgin Islands 00802 Telephone: (340) 774-0750 Fax: (340) 776-0069

lrmills@usvi.org

IMPORTANT NOTICE TO PROSPECTIVE PARTICIPANTS IN U.S. DEPARTMENT OF EDUCATION CONTRACT AND GRANT PROGRAMS

GRANTS

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds.

Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste.

For these reasons, ED must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that:

Failure to meet a deadline will mean that an applicant will be rejected without any consideration whatever.

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. A one-year subscription to the Register may be obtained by sending \$340.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402-9371. (Send check or money order only, no cash or stamps.)

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register.

Questions regarding submission of applications may be addressed to:

U.S. Department of Education Application Control Center Washington, D.C. 20202-4725

CONTRACTS

Competitive procurement actions undertaken by the ED are governed by the Federal Procurement Regulation and implementing ED Procurement Regulation.

Generally, prospective competitive procurement actions are synopsized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP).

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracts Specialist identified on the face page of the RFP.

Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal which is non-responsive to the RFP.

A subscription to the CBD is available for \$208.00 per year via second class mailing or \$261.00 per year via first class mailing. Information included in the Federal Acquisition Regulation is contained in Title 48, Code of Federal Regulations, Chapter 1 (\$49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents U.S. Government Printing Office Washington, D.C. 20402-9371

In an effort to be certain this important information is widely disseminated, this notice is being included in all ED mail to the public. You may therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.

ED FORM 5348, 8/92

ACKNOWLEDGMENT OF RECEIPT OF GRANT APPLICATION

If you fail to receive the notification of application receipt within fifteen (15) days from the closing date, call:

U.S. Department of Education Application Control Center 202-708-9493

GRANT AND CONTRACT FUNDING INFORMATION

The Department of Education provides information about grant and contract opportunities electronically in several ways: See for example:

The Department's Internet Home Page -- http://www.ed.gov
The Office of the Chief Financial Officer Home Page -- http://ocfo.ed.gov/